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Industrial Cost Recovery Systems Construction Grants Program Information

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This document of supplemental information is intended to describe the essential requirements of the "Federal Guidelines - Industrial Cost Recovery Systems*" Industrial Cost Recovery (ICR) Guidelines and other related requirements in a format which will assist the grantees in the design, installation and implementation of their own systems.

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PB81-178386

CONSTRUCTION GRANTS PROGRAM
INFORMATION

INDUSTRIAL COST RECOVERY SYSTEMS

NOVEMBER 1976

UNITED STATES
ENVIRONMENTAL PROTECTION AGENCY
OFFICE OF WATER PROGRAM OPERATIONS
MUNICIPAL CONSTRUCTION DIVISION
WASHINGTON, D.C. 20460

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NOTE:

This document is not a replacement of the Act, the Regulations, the Guidelines, or official EPA policy statements. It contains supplemental information to explain these statutory and regulatory requirements and provides examples of industrial cost recovery requirements, interpretations, and procedures. Any clarifications and specific conditions applicable to a local area should be discussed with the appropriate EPA Regional Office.

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This publication should be placed in Part III, Guidelines of the Municipal Wastewater Treatment Works Construction Grants Program manual of references.

CONSTRUCTION GRANTS PROGRAM

INFORMATION –

INDUSTRIAL COST RECOVERY SYSTEMS

United States
Environmental Protection Agency
Office of Water Program Operations
Municipal Construction Division
Washington, D.C. 20460
November 1976

PREFACE

Section 204(b)(1)(B) of the Federal Water Pollution Control Act Amendments of 1972 (PL 92-500) requires that industrial users of the treatment works make payments for "that portion of the cost of construction of such treatment works (as determined by the Administrator) which is allocable to the treatment of such industrial wastes."

In carrying out the provisions of this section, EPA has published:

- in Title 40 of the Code of Federal Regulations, Part 35, *State and Local Assistance,* Subpart E, *Grants for Construction of Treatment Works.* (40 C.F.R. §35.900 et seq.)

  This document focuses attention on sections 35.903(k); 35.905-6, -7, and -8; 35.920-3(b)(3) and -3(c); 35.925-12(a) and -17; 35.928-1 and -2; 35.935-13(a)(c)(d)(e); 35.940; and 35.945(b).

- Federal Guidelines – Industrial Cost Recovery Systems, February 1976.

The purpose of this document is to supplement the "Federal Guidelines – Industrial Cost Recovery Systems," to provide additional details for assistance in implementation and review of the grantees' Industrial Cost Recovery (ICR) systems, and to outline a general implementation process which is in compliance with Federal requirements.

John T. Rhett
Deputy Assistant Administrator
for Water Program Operations
Washington, D.C.

ACKNOWLEDGMENT

This document of Supplemental Information was prepared by the Municipal Construction Division, Water Program Operations, Office of Water and Hazardous Materials.

The initial drafts of this document were prepared, under contract, by Peat, Marwick, Mitchell & Co., Washington, D.C. This document was reviewed and edited by the staff of the Municipal Construction Division to validate its accuracy and ensure that it properly and effectively conveyed Agency policies and procedures after meetings with the contractor's project manager, Ben King Duffy. Further review and editing of this document was performed by representatives of each of the ten EPA Regions, the Office of General Counsel, the Office of Audit, the Grants Administration Division, and the Financial Management Division. John T. Pai, Chief Sanitary Engineer, Construction Operations Branch, served as Project Officer for the supervision of this contract.

Other members of the Peat, Marwick, Mitchell & Co. staff assisting in the preparation were John A. Wander, C. Alan Phillips, and Lawrence J. Scully.

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INTRODUCTION

This document of supplemental information is intended to describe the essential requirements of the "Federal Guidelines – Industrial Cost Recovery Systems" Industrial Cost Recovery (ICR) Guidelines and other related requirements in a format which will assist the grantees in the design, installation and implementation of their own systems.

Industry, municipal, county, and state officials will all be involved, either directly or indirectly. In addition, EPA regional authorities and headquarters are responsible to oversee the implementation of a system designed to recover that portion of the Federal grant attributable to the cost of construction of treatment works allocable to the treatment of industrial wastes. The ICR Guidelines contains examples of the Federal requirements for determining industrial contributions. This document contains illustrative materials for guidance during the design and review steps. Accordingly, it provides a progressive discussion of the logical sequence most grantees will follow.

Major requirements are referenced in the first section, following a schematic presentation of the relationship of the Industrial Cost Recovery (ICR) and User Charge systems. The second portion of this document describes the process of the technical classification of industry, and then the integration of the technical and financial data in order to arrive at appropriate values. The examples contained in the ICR Guidelines were used as the basis for input to the examples in this document, so that the grantees and others in the industry and the government can have an explicit set of examples to use as a reference in discussing their own unique situations.

In the third major portion of this document, the components of the "Funds Management" systems are introduced. The functions and components of the funds management process are discussed; however, no new policies or outlines of local financial procedures for the grantees are included.

The fourth section contains an ICR design checklist to aid grantees in completing the system requirements in the necessary timeframe.

It is recognized that available data, existing systems, and local policies will all influence the specific approaches worked out by the various grantees. For example, a small treatment facility operator with only one class of industry and one or two industrial users will not view his ICR situation in the same manner as will the management group of a major urban-industrial waste treatment system. Because of this diversity in actual situations, it is expected that the general guidance and information provided in this document will allow for local determination of the optimum approaches to be utilized in each grantee's system.

ICR SYSTEM REQUIREMENTS
INDUSTRIAL COST RECOVERY AND USER CHARGES

The requirements for establishing the volume and characteristics of industrial wastes, including the conduct of surveys and quantification of flows, are similar for both ICR and user charges. However, user charges apply to all recipients of waste treatment services of the grantee and are utilized to recover the operation and maintenance expenses of all the treatment works of the grantee, whereas ICR payments are required from industrial users only to recover that portion of the Federal grant attributable to the costs of construction of the treatment works allocable to the treatment of industrial wastes.

The chart on the facing page indicates that, in addition to fiscal mechanisms, the institutional and substantial legal mechanisms are also related for both ICR and User Charges. However, the ICR Capital Cost Recovery Program and the User Charge Operating and Maintenance Program have different specific objectives and scope of accounting applications but relate to one basic system. This manual focuses on the unique requirements of implementing and operating the ICR portion of the system. User charge criteria are outlined further under 40 C.F.R. 35.935-13 and Appendix B of the Regulations.

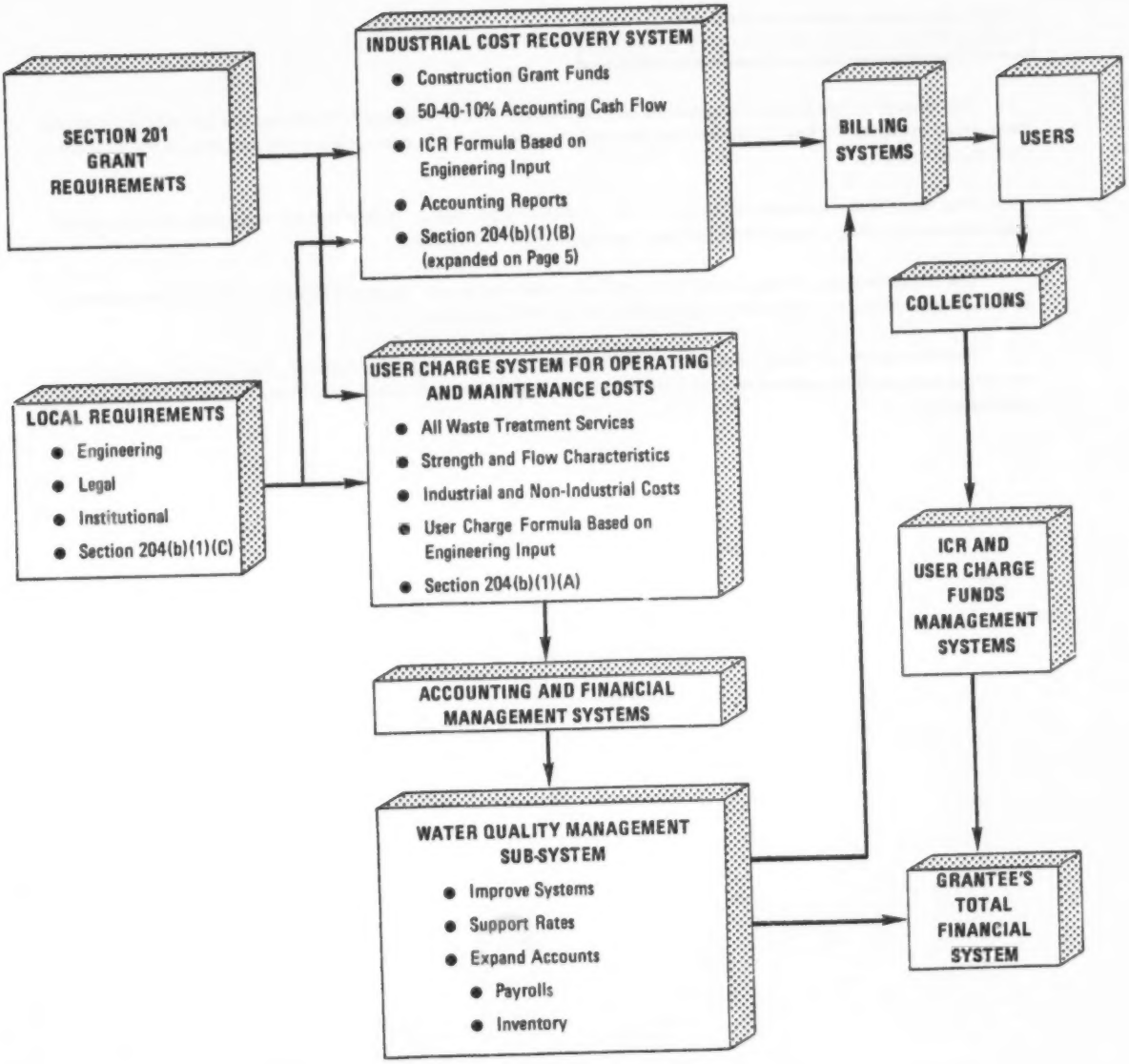

FIGURE 1: RELATIONSHIP BETWEEN ICR AND USER CHARGES

INDUSTRIAL COST RECOVERY SYSTEM

The close interface between engineering and accounting in an ICR system is illustrated in Figure 2 on the facing page which indicates the flow of engineering data which, when related to appropriate grant cost data, is translated into ICR annual costs.

This figure is an expansion of the ICR "box" in Figure 1 on page 3. It indicates the sequential activities which must occur in the design, implementation and operation of an ICR system.

The responsibilities of the grantee, EPA, and industrial users which occur prior to and during the development and implementation of an ICR system are outlined in the following pages.

The importance of industry's role in the ICR system is often minimized or ignored. The joint treatment of municipal and industrial wastewaters can prove beneficial to both the community and to the industrial establishments participating.

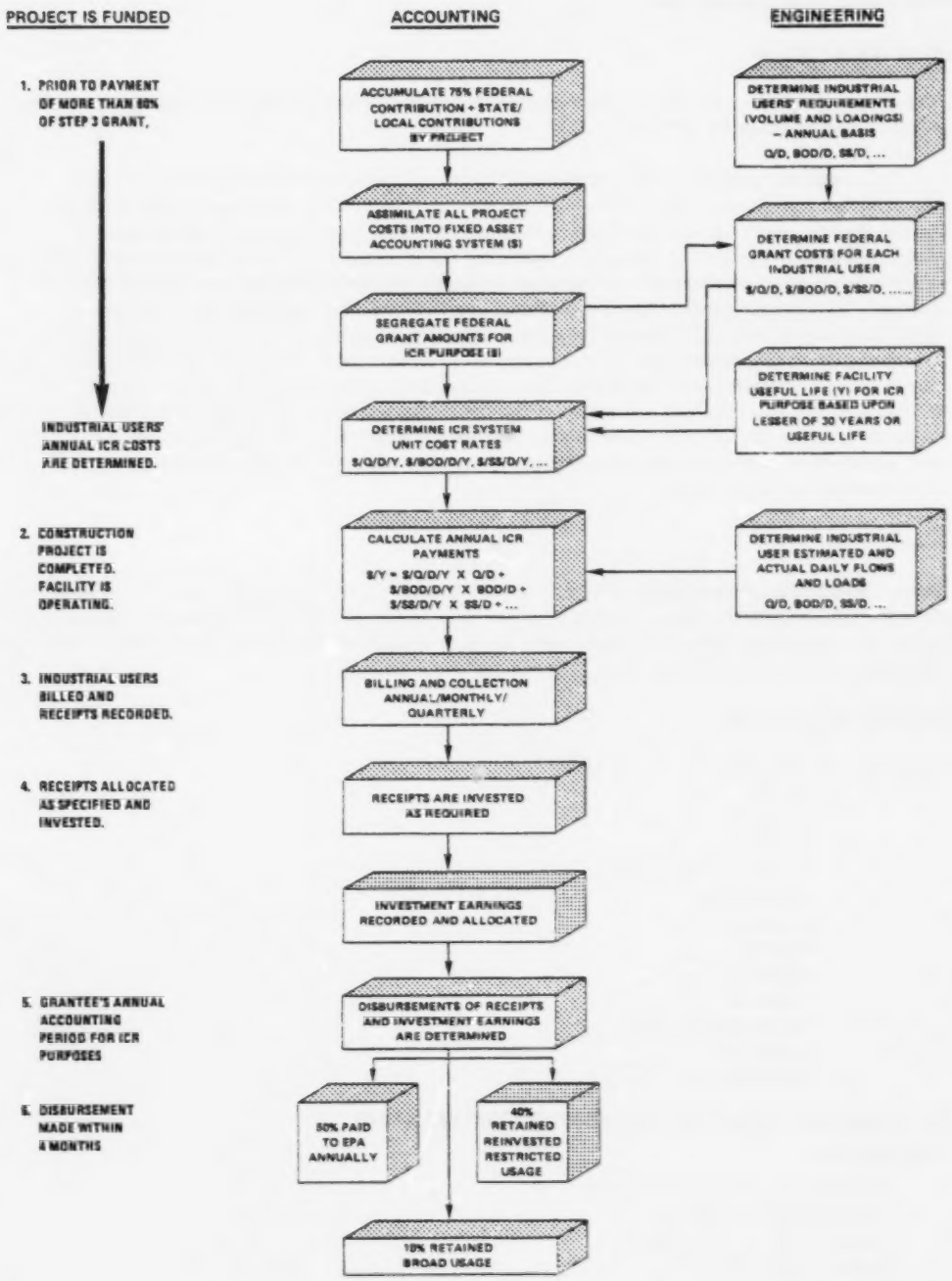
PROJECT IS FUNDED
ACCOUNTING
ENGINEERING
1. PRIOR TO PAYMENT OF MORE THAN 60% OF STEP 3 GRANT,
ACCUMULATE 75% FEDERAL CONTRIBUTION + STATE/ LOCAL CONTRIBUTIONS BY PROJECT
DETERMINE INDUSTRIAL USERS' REQUIREMENTS (VOLUME AND LOADINGS) – ANNUAL BASIS
Q/D, BOD/D, SS/D, ...
ASSIMILATE ALL PROJECT COSTS INTO FIXED ASSET ACCOUNTING SYSTEM ($)
DETERMINE FEDERAL GRANT COSTS FOR EACH INDUSTRIAL USER
$/Q/D, $/BOD/D, $/SS/D, ...
SEGREGATE FEDERAL GRANT AMOUNTS FOR ICR PURPOSE ($)
DETERMINE FACILITY USEFUL LIFE (Y) FOR ICR PURPOSE BASED UPON LESSER OF 30 YEARS OR USEFUL LIFE
INDUSTRIAL USERS' ANNUAL ICR COSTS ARE DETERMINED.
DETERMINE ICR SYSTEM UNIT COST RATES
$/Q/D/Y, $/BOD/D/Y, $/SS/D/Y, ...
2. CONSTRUCTION PROJECT IS COMPLETED. FACILITY IS OPERATING.
CALCULATE ANNUAL ICR PAYMENTS
$/Y = $/Q/D/Y X Q/D + $/BOD/D/Y X BOD/D + $/SS/D/Y X SS/D + ...
DETERMINE INDUSTRIAL USER ESTIMATED AND ACTUAL DAILY FLOWS AND LOADS
Q/D, BOD/D, SS/D, ...
3. INDUSTRIAL USERS BILLED AND RECEIPTS RECORDED.
BILLING AND COLLECTION ANNUAL/MONTHLY/ QUARTERLY
4. RECEIPTS ALLOCATED AS SPECIFIED AND INVESTED.
RECEIPTS ARE INVESTED AS REQUIRED
INVESTMENT EARNINGS RECORDED AND ALLOCATED
5. GRANTEE'S ANNUAL ACCOUNTING PERIOD FOR ICR PURPOSES
DISBURSEMENTS OF RECEIPTS AND INVESTMENT EARNINGS ARE DETERMINED
6. DISBURSEMENT MADE WITHIN 4 MONTHS
50% PAID TO EPA ANNUALLY
40% RETAINED REINVESTED RESTRICTED USAGE
10% RETAINED BROAD USAGE

FIGURE 2: INDUSTRIAL COST RECOVERY SYSTEM

ICR SYSTEM LEGAL REQUIREMENTS

The grantee has primary responsibilities in the design, implementation, and operation of ICR and User Charge systems. The Congressional intent in PL 92-500, the Act itself, EPA's implementing regulations, and the ICR Guidelines address these major responsibilities.

REPORT OF ICR INTENTIONS

The Congressional intent of ICR is contained in the United States House of Representatives' Committee on Public Works report of March 11, 1972:[1]

> *In connection with industrial users of publicly owned systems, the Committee desired to establish within the user charge system an arrangement whereby industrial users would pay charges sufficient to bear their fair portion of all costs including the share of Federal contributions for capital construction attributable to that part of the cost of constructed facilities attributable to use by industrial sources. It is the Committee's view that it is inappropriate in a large Federal grant program providing a high percentage of construction funds to subsidize industrial users from funds provided by the taxpayers at large. Accordingly, the bill imposes an obligation on the part of publicly owned systems to incorporate into their user charge schedule a component to recover, without interest, that proportion of the total Federal grant to the community for construction purposes attributable to industrial users. The Committee recognizes that there will be some administrative difficulties involved in establishing classes of industrial users and has left to the local system the obligation to set up an effective and equitable system, subject to the approval of the Administrator, inasmuch as the establishment of such a system is a precondition to Federal grants.*

PUBLIC LAW 92-500

Public Law 92-500, enacted October 18, 1972, under "Title II – Grants for Construction of Treatment Works" requires in Section 204(b)(1)(B) that the grantee applicant "has made provision for the payment to such applicant by the industrial users of the treatment works of that portion of the cost of construction" attributable to the Federal grant (75 percent of total grant eligible costs).

IMPLEMENTING REGULATIONS

40 C.F.R. § 35.903(k);
35.905-6;
35.905-7;
35.905-8;
35.920-3(b)(3) and -3(c);
35.925-12(a);
35.925-17;
35.928;
35.928-1;
35.928-2;
35.935-13(a)(c)(d)(e);
35.940; and
35.945(b).

FEDERAL GUIDELINES – INDUSTRIAL COST RECOVERY SYSTEMS, MCD-45

Available from:

General Services Administration (8FFS)
Centralized Mailing List Services
Building 41, Denver Federal Center
Denver, Colorado 80225

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[1] Federal Water Pollution Control Act Amendments of 1972, Report of the Committee on Public Works, U.S. House of Representatives, 92d Congress, 2d Session, House Report No. 92-911, March 11, 1972, pp. 91-92.

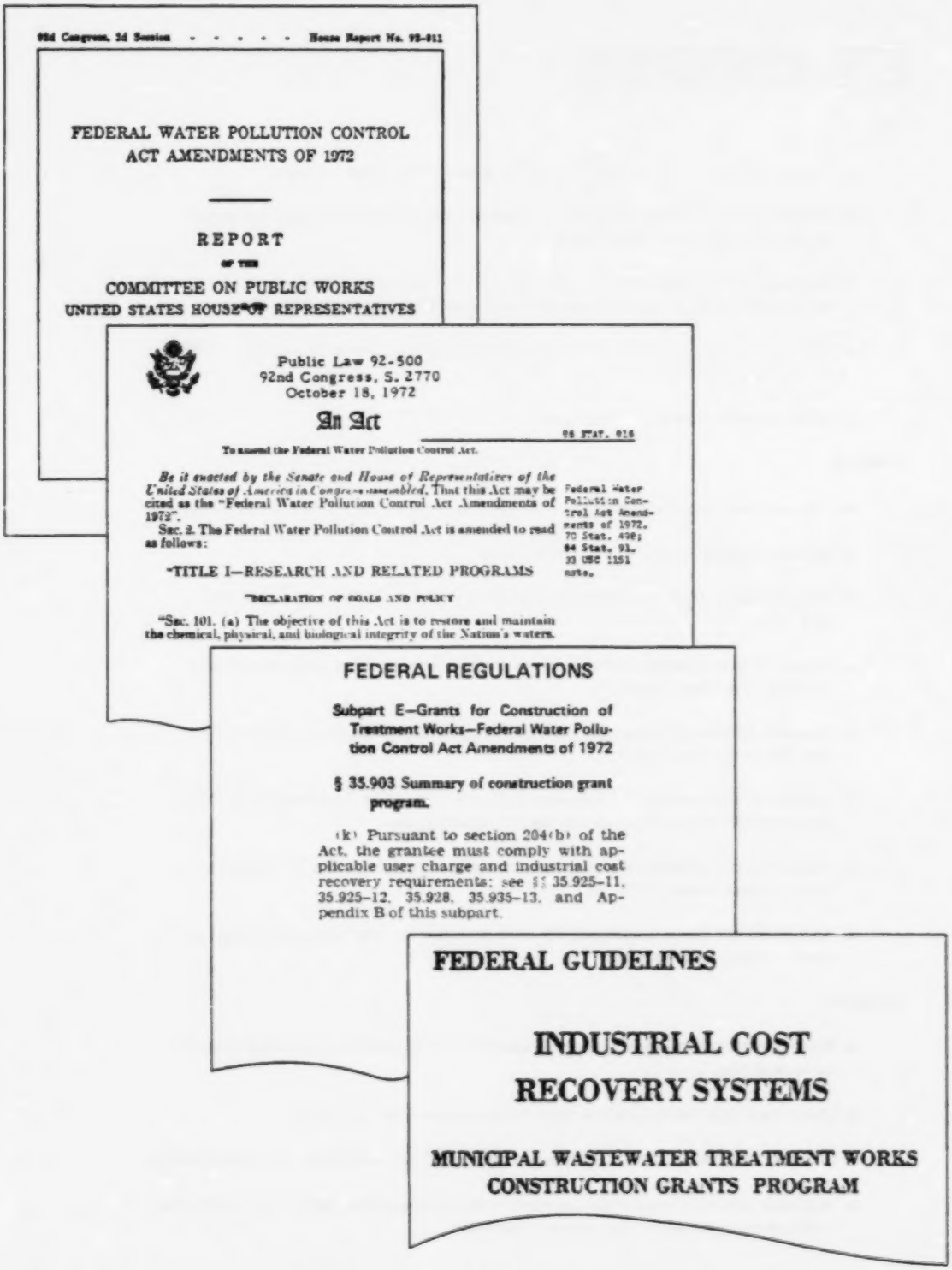

92d Congress, 2d Session
House Report No. 92-911
FEDERAL WATER POLLUTION CONTROL ACT AMENDMENTS OF 1972
REPORT
OF THE
COMMITTEE ON PUBLIC WORKS
UNITED STATES HOUSE OF REPRESENTATIVES
Public Law 92-500
92nd Congress, S. 2770
October 18, 1972
An Act
86 STAT. 816
To amend the Federal Water Pollution Control Act.
Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Federal Water Pollution Control Act Amendments of 1972".
Federal Water Pollution Control Act Amendments of 1972. 70 Stat. 498; 84 Stat. 91. 33 USC 1151 note.
SEC. 2. The Federal Water Pollution Control Act is amended to read as follows:
"TITLE I—RESEARCH AND RELATED PROGRAMS
"DECLARATION OF GOALS AND POLICY
"SEC. 101. (a) The objective of this Act is to restore and maintain the chemical, physical, and biological integrity of the Nation's waters.
FEDERAL REGULATIONS
Subpart E—Grants for Construction of Treatment Works—Federal Water Pollution Control Act Amendments of 1972
§ 35.903 Summary of construction grant program.
(k) Pursuant to section 204(b) of the Act, the grantee must comply with applicable user charge and industrial cost recovery requirements: see §§ 35.925-11, 35.925-12, 35.928, 35.935-13, and Appendix B of this subpart.
FEDERAL GUIDELINES
INDUSTRIAL COST RECOVERY SYSTEMS
MUNICIPAL WASTEWATER TREATMENT WORKS CONSTRUCTION GRANTS PROGRAM

FIGURE 3: ICR LEGAL REQUIREMENTS

ROLES AND RESPONSIBILITIES

EPA

- Reviews grantee's intent to install ICR (prior to approving a Step 2 grant);
- Reviews grantee's planned schedule of implementation for complying with ICR (prior to approving a Step 2 or Step 3 grant);
- Reviews evidence submitted by the grantee that an Industrial Cost Recovery System is being developed (prior to the payment of more than 50% of the Step 3 grant);
- Approves the grantee's ICR system and plans (prior to the payment of more than 80% of the Step 3 grant); and
- Audits grantee's records for compliance.

GRANTEE

- Prior to Step 2, submits satisfactory evidence of intent to comply with ICR requirements;
- Requests letters of intent from *significant* users;
- Executes reserve capacity contracts with those industrial users who desire to reserve capacity;
- Shows satisfactory evidence of ICR system development prior to the payment of more than 50% of the Step 3 grant;
- Completes ICR system design and obtains EPA approval prior to the payment of more than 80% of the Step 3 grant;
- Implements and maintains the approved ICR system when Step 3 construction is completed or when service is provided to the first industrial user;
- Reevaluates and updates the allocations of capacity to industrial users in conjunction with an annual review of ICR; and
- Adjusts the ICR shares proportionately when an expansion, upgrading of treatment or change in waste loadings occurs.

INDUSTRY

- Significant (10%+) industrial users must submit letters of intent to the grantee (prior to approval of Step 2 grant);
- Users requiring or desiring reserve capacity must contract for their needs;
- Industrial users must report any substantial changes in their wastewater characteristics; and
- Industrial users must make initial payments to the grantee within the first 12 months after initiation of service and at least annually thereafter.

ROLES AND RESPONSIBILITIES	INDUSTRIAL COST RECOVERY MILESTONES
(1) Grantee submits evidence of agreement to implement ICR. Significant users (10% +) submit letters of intent to grantee who submits to EPA.	1 Prior to Steps 2 or 3, depending on grant.
(2) Grantee submits evidence to EPA that he is developing ICR system.	2 Prior to EPA paying more than 50 percent of Step 3 grant.
(3) Grantee submits completed ICR system design, including opinion of adequacy, to EPA and obtains approval.	3 Prior to EPA paying more than 80 percent of Step 3 grant.
(4) Grantee implements approved system.	4 Operational waste treatment works begins service.
(5) Grantee bills industry and receives initial annual payment.	5 Within one calendar year after initiation of service.
(6) Grantee makes initial annual payment to EPA.	6 Within four months after end of grantee's fiscal year.
(7) Grantee re-evaluates and updates ICR charges periodically.	7 In conjunction with annual review of ICR.

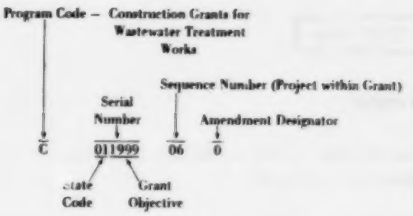
FIGURE 4: PRIMARY ROLES AND RESPONSIBILITIES IN DEVELOPING AND IMPLEMENTING ICR

GRANTS – PROJECTS – AMENDMENTS

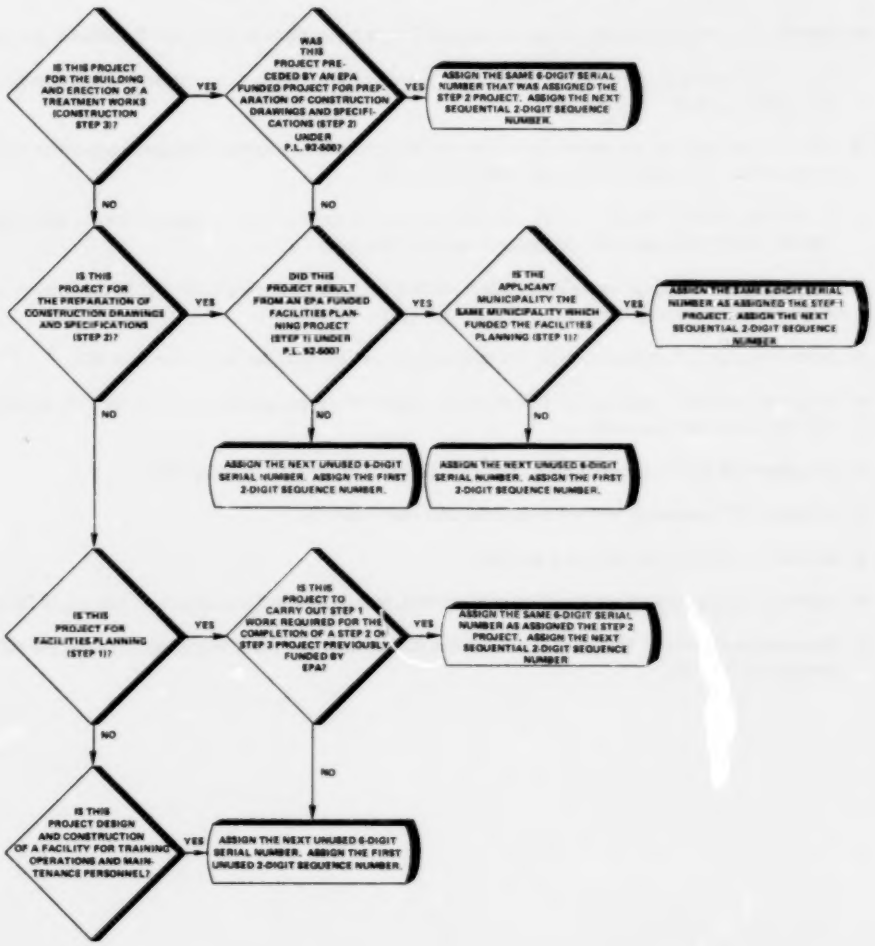
In order to establish a nationally uniform basis for determining what a Federal grant is under PL 92-500, it is necessary that grant designations and grant eligible costs be consistently defined by all regional administrators, states, and grantees.

Although treatment works' grants under PL 92-500 normally follow a three-step grant process, circumstances may vary with each grantee and among the various grants. However, the Wastewater Treatment (WWT) Construction Grant Identification document published by the Grants Administration Division of EPA applies to all grants. Figure 5 summarizes the grant assignment procedure, and the entire WWT document is reproduced in Appendix A. Any questions concerning the definition of total construction amounts to be incorporated into ICR calculations should be referred to the appropriate Regional Administrator.

Each new grant requires a separate consideration of industrial cost recovery, since each payment period relates to the year following the start-up of operations for which that grant was awarded. Billing and collection of each ICR share must occur on or prior to the calendar anniversary related to the specific grant for the first year. However, the grantee may adjust and accumulate payments from users under different grants and repay the Federal portion under its annual fiscal cycle or other appropriate annual period.



ASSIGNMENT OF EPA GRANT IDENTIFICATION NUMBERS BY THE STATES[1]


IS THIS PROJECT FOR THE BUILDING AND ERECTION OF A TREATMENT WORKS (CONSTRUCTION STEP 3)?
YES
WAS THIS PROJECT PRE-CEDED BY AN EPA FUNDED PROJECT FOR PREP-ARATION OF CONSTRUCTION DRAWINGS AND SPECIFI-CATIONS (STEP 2) UNDER P.L. 92-500?
YES
ASSIGN THE SAME 6-DIGIT SERIAL NUMBER THAT WAS ASSIGNED THE STEP 2 PROJECT. ASSIGN THE NEXT SEQUENTIAL 2-DIGIT SEQUENCE NUMBER.
NO
NO
IS THIS PROJECT FOR THE PREPARATION OF CONSTRUCTION DRAWINGS AND SPECIFICATIONS (STEP 2)?
YES
DID THIS PROJECT RESULT FROM AN EPA FUNDED FACILITIES PLAN-NING PROJECT (STEP 1) UNDER P.L. 92-500?
YES
IS THE APPLICANT MUNICIPALITY THE SAME MUNICIPALITY WHICH FUNDED THE FACILITIES PLANNING (STEP 1)?
YES
ASSIGN THE SAME 6-DIGIT SERIAL NUMBER AS ASSIGNED THE STEP 1 PROJECT. ASSIGN THE NEXT SEQUENTIAL 2-DIGIT SEQUENCE NUMBER.
NO
NO
NO
ASSIGN THE NEXT UNUSED 6-DIGIT SERIAL NUMBER. ASSIGN THE FIRST 2-DIGIT SEQUENCE NUMBER.
ASSIGN THE NEXT UNUSED 6-DIGIT SERIAL NUMBER. ASSIGN THE FIRST 2-DIGIT SEQUENCE NUMBER.
IS THIS PROJECT FOR FACILITIES PLANNING (STEP 1)?
YES
IS THIS PROJECT TO CARRY OUT STEP 1 WORK REQUIRED FOR THE COMPLETION OF A STEP 2 OR STEP 3 PROJECT PREVIOUSLY FUNDED BY EPA?
YES
ASSIGN THE SAME 6-DIGIT SERIAL NUMBER AS ASSIGNED THE STEP 2 PROJECT. ASSIGN THE NEXT SEQUENTIAL 2-DIGIT SEQUENCE NUMBER
NO
NO
IS THIS PROJECT DESIGN AND CONSTRUCTION OF A FACILITY FOR TRAINING OPERATIONS AND MAIN-TENANCE PERSONNEL?
YES
ASSIGN THE NEXT UNUSED 6-DIGIT SERIAL NUMBER. ASSIGN THE FIRST UNUSED 2-DIGIT SEQUENCE NUMBER.

[1] Adapted from U.S. Environmental Protection Agency, Grants Administration Division, Grants Information Guide, October 1978, page 4.

NOTE: See Page A-4 for pertinent notes and definitions.

FIGURE 5: ASSIGNMENT OF EPA GRANT IDENTIFICATION NUMBERS BY THE STATES

DEVELOPING THE ICR SYSTEM

ICR payments are to be made:

- only on that part of a treatment works (as defined in Section 212 of the Act and 40 C.F.R. § 35.905-4, -23) for which a Federal grant is made; and
- only by those industrial users served by the treatment works constructed under the grant.

The steps illustrated in Figure 6 are involved in designing the ICR system:

- identify the industrial users in accordance with EPA's regulations and the ICR Guidelines *(see page 14);*
- survey the industrial users to determine volume and loading (waste flow characteristics) and develop the industrial data base *(see page 16);*
- identify and describe the design requirements and costs of construction required to provide waste treatment service to industrial users *(see pages 16 and 18);*
- if required, classify industrial users into appropriate groups (significant, major, minor – *see page 18*) and identify waste characteristics by design parameter *(see page 18);*
- quantify total industrial waste volume and loading (including reserved capacity) in proportion to the total capacity of the treatment works *(see page 18);*
- determine costs of construction of the treatment works for ICR purposes *(see page 20);*
- calculate applicable capacity for ICR purposes, applicable grant eligible amounts for ICR purposes, and ICR unit costs *(see page 20);*
- calculate ICR unit cost rates based upon the ICR recovery period *(see page 22);*
- compute ICR payments for each industrial user *(see page 23);*
- develop a billing procedure *(see page 26);*
- establish funds management covering cash control, investment and disbursement *(see pages 28 to 31);* and
- document and provide EPA with details of the ICR system and plans in accordance with the ICR Guidelines *(see pages 34 to 39).*

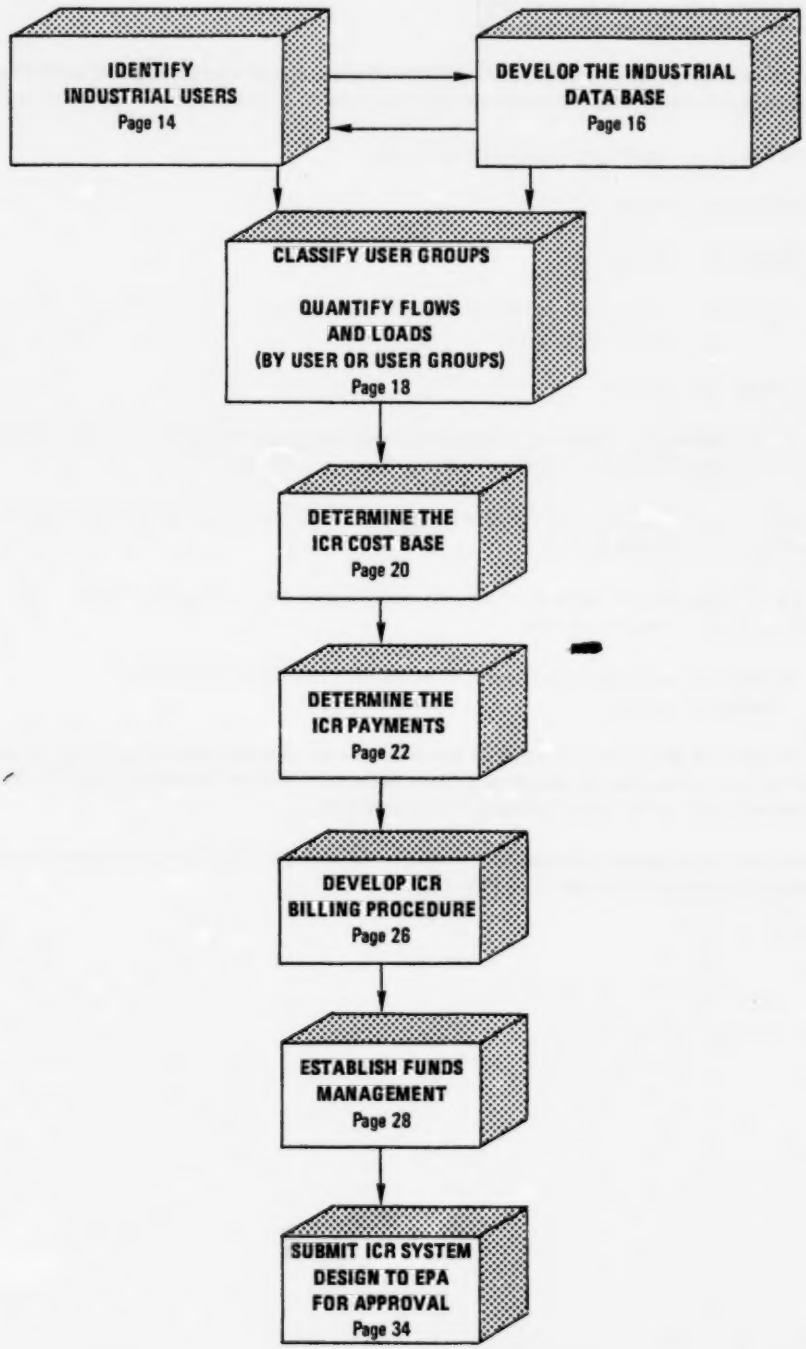


FIGURE 6: DEVELOPING THE ICR SYSTEM
(Page numbers indicate detailed discussions)

IDENTIFYING INDUSTRIAL USERS

An industrial user is defined in 40 C.F.R. § 35.905-8 as any nongovernmental user of publicly owned treatment works identified in the following divisions of the Standard Industrial Classification Manual (SIC), 1972:

- *Division A* – Agriculture, Forestry, and Fishing
- *Division B* – Mining
- *Division D* – Manufacturing
- *Division E* – Transportation, Communications, Electric, Gas, and Sanitary Services
- *Division I* – Services

Figure 7 illustrates the subdivision of the SIC system to the four-digit level. Appendix B contains a list of short SIC titles and four-digit industry classification numbers for these divisions.

The grantee has the option to exclude from ICR payments an industrial user in any of the above divisions provided the following conditions are met:

- the industrial user discharges only non-process segregated domestic wastes or wastes from sanitary conveniences; and
- the industrial user is not a significant user as defined in 40 C.F.R. §35.925-12 (10 percent + loading).

In the event the grantee exercises this option, he must exclude every industrial user meeting the above requirements and he must also deduct the estimated sanitary wastes from all other industrial users who discharge both process and sanitary wastes prior to computing their ICR payments.

Diversified companies or establishments need to be defined in terms of specific products or services and resulting wastewaters generated within each SIC Division.

Division D

Manufacturing

The Division as a Whole

The manufacturing division includes establishments engaged in the mechanical or chemical transformation of materials or substances into new products. These establishments are usually described as plants, factories, or mills and characteristically use power driven machines and materials handling equipment. Establishments engaged in assembling component parts of manufactured products are also considered manufacturing if the new product is neither a structure nor other fixed improvement. Also included is the blending of materials such as lubricating oils, plastics, resins, or liquors.

MANUFACTURING

Major Group 30.—RUBBER AND MISCELLANEOUS PLASTICS PRODUCTS

The Major Group as a Whole

This major group includes establishments manufacturing from natural, synthetic, or reclaimed rubber, gutta percha, balata, or gutta siak, rubber products such as tires, rubber footwear, mechanical rubber goods, heels and soles, flooring, and rubber sundries. This group also includes establishments primarily manufacturing tires, but establishments primarily recapping and retreading automobile tires are classified in Industry 7534. This group also includes establishments engaged in molding primary plastics for the trade, and manufacturing miscellaneous finished plastics products. The manufacture of elastic webbing is classified in Major Group 22; products made of elastic webbing and garments made from rubberized fabrics in Major Group 23; and synthetic rubber in Industry 2822.

Group No.	Industry No.	
301		TIRES AND INNER TUBES
	3011	Tires and Inner Tubes

Establishments primarily engaged in manufacturing pneumatic casings, inner tubes, and solid and cushion tires for all types of vehicles, airplanes, farm equipment, and children's vehicles; tiring; and camelback, and tire repair and retreading materials. Establishments primarily engaged in retreading tires are classified in Industry 7534.

Camelback for tire retreading
Inner tubes: airplane, automobile, bicycle, motorcycle, and tractor
Pneumatic casings (rubber tires)
Tire sundries and tire repair materials, rubber
Tires, cushion or solid rubber
Tiring, continuous lengths: rubber, with or without metal core

302		RUBBER AND PLASTICS FOOTWEAR
	3021	Rubber and Plastics Footwear

Establishments primarily engaged in manufacturing all rubber and plastics footwear, waterproof fabric upper footwear, and other fabric upper footwear having rubber or plastic soles vulcanized to the uppers. Establishments primarily engaged in manufacturing rubber, composition, and fiber heels, soles, soling strips, and related shoe making and repairing materials are classified in Industry 3069; plastic soles and soling strips in Industry 3079.

Arctics, rubber or rubber soled fabric
Boots, plastics
Boots, rubber or rubber soled fabric
Canvas shoes, rubber soled
Footholds, rubber
Footwear, rubber or rubber soled fabric
Gaiters, rubber or rubber soled fabric
Galoshes, plastics
Galoshes, rubber or rubber soled fabric
Overshoes, plastics
Overshoes, rubber or rubber soled fabric
Pacs: rubber or rubber soled fabric
Sandals, rubber
Shoes, plastics soles molded to fabric uppers
Shoes, rubber or rubber soled fabric uppers
Shower sandals or slippers, rubber

Source: Standard Industrial Classification Manual: 1972, Executive Office of the President, Office of Management and Budget, pp. 57, 129. For sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402, Stock No. 4101-0066.

FIGURE 7: EXAMPLE OF SIC CLASSIFICATIONS

DEVELOPING THE INDUSTRIAL DATA BASE

The grantee or his consulting engineer must confirm the existence of industrial dischargers and define their SIC codes. He then must determine or confirm existing and projected wastewater loads and characteristics for each industrial user. This data base will later permit classification of industrial users into appropriate groups for the determination of ICR payments. The data base will also provide analytical input to aid in the determination of:

- a continuing comparison of wastewater compatibility with existing and projected treatment works and the degree of pretreatment required (initially included as a facility plan consideration);
- the desirability of exercising the exclusion option from ICR payments for "dry" industries contributing segregated domestic wastewaters only; and
- consideration of the significance of the volume of nonprocess sanitary or segregated domestic wastewater received from "wet" industries to aid the grantee in determining if he wishes to apply the credit to users' total loads by subtracting this fraction before computing ICR since the exclusion consideration must be applied equitably to both "wet" and "dry" industries.

Figure 8 illustrates four survey approaches which may be utilized to aid classification. Refinements, sometimes initially unavailable because of record inadequacy and limits in the confidence of projections, can be incorporated during each year's annual review. Appropriate adjustments in ICR allocations can then be applied. The best available information should be utilized in projecting design flows and loadings (waste flow characteristics).

The grantee must reevaluate and update, no less frequently than annually, flows and loadings of all industrial users for ICR purposes.

(1) SAMPLE ANALYSIS

Bouncy Baby Shoe Co. SIC 3021 – 1940 Broad Street

		DATES			
		8/1/75	9/10/75	11/6/75	Design
Flow – Average	gpd	68,000	72,000	70,000	70,000
Nitrogen	mg/1	–	–	–	–
Total Phosphorus	mg/1	–	–	–	–
BOD	mg/1	350	340	360	350
Suspended Solids	mg/1	580	600	590	590
COD	mg/1	–	–	–	–
Dissolved Oxygen	mg/1	–	–	–	–

Note – Pretreated Effluent

(2) NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM[1]

GENERAL INSTRUCTIONS, SHORT FORMS, STANDARD FORMS, AND A DISCHARGE MONITORING REPORT FOR APPLICATIONS FOR PERMIT DISCHARGES UNDER THE NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM

NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM
APPLICATION FOR PERMIT TO DISCHARGE – SHORT FORM C

To be filed only by persons engaged in manufacturing and mining

FOR AGENCY USE

APPLICATION NUMBER

DATE RECEIVED

YEAR MO. DAY

FORM APPROVED
OMB No. 158–R0100

FOR AGENCY USE

STANDARD FORM A–MUNICIPAL

SECTION IV. INDUSTRIAL WASTE CONTRIBUTION TO MUNICIPAL SYSTEM

(3) TREATMENT PLANT RECORDS

1972 Bouncy Baby Shoe Co.

1971 Bouncy Baby Shoe Co.

Daily Averages/Month for Design Purposes

	Flow	BOD	SS
January	65,000	300	570
February	68,000	320	560
March			

(4) COMPANY OR PLANT DATA OR ESTIMATE OF REQUIREMENT

The Bouncy Baby Shoe Company

For 1978, it is estimated that our waste discharge should not exceed 70,000 gpd and

[1]Can be obtained from U.S. Environmental Protection Agency Regional Office (See Appendix D).

FIGURE 8: ILLUSTRATIVE SURVEY APPROACHES FOR DESIGN REQUIREMENTS

CLASSIFYING USER GROUPS QUANTIFYING FLOWS AND LOADINGS

The classification of industrial establishments by waste generation characteristics is necessary for the grantee to determine:

- the extent, frequency, and types of monitoring required to refine the data base in order to assure proportionality of ICR and user charges, to enforce pretreatment commitments, and to detect violators;

- the feasibility of establishing a group of establishments whose low volume and strength discharges appear to be too small to justify more than infrequent monitoring and which can be mathematically averaged and assessed equal segments of the ICR group total.

Following the definition and identification of industrial users, together with their wastewater discharges, the classification by appropriate groups then permits quantifying flows and contaminant loadings to determine the volume and loading of wastes introduced by industrial users in proportion to the total design treatment plant volume and loading (both present and reserved) of the total wastewater treatment plant load as illustrated in Figure 9.

It should be noted that the design committed ICR flows and loadings can, and probably will, be different from the aggregate of actual annual operating flows and loadings which form the basis for that year's user charges as well as the following year's allocations for ICR.

THE LOST RIVER SANITARY DISTRICT

1.9 MGD DESIGN CAPACITY NEW SECONDARY PLANT

	No. of Accounts	SIC Code	No. of Employees	Type of Waste	DESIGN/COMMITTED Flow GPD	BOD No. PD	S. S. No. PD
INDUSTRIAL[1]							
A. Significant (+10%)							
Sometime Oil Co.	1	2911	150	Process	100,000	600	500
(Unused Reserve)		2911	50	Process	100,000	600	500
Subtotal	1		200		200,000	1,200	1,000
B. Major (5-10%)							
Average Ice Cream, Ltd.	1	2024	200	Process	150,000	600	1,000
C. Minor (1-5%)							
Bouncy Baby Shoe Co.	1	3021	300	Pretreat	70,000	350	590
D. Minor Group (-1%)							
Daily Egg Co.	1	0252	50	Process	4,000	30	50
Hot Fire Clay Co.	1	1453	Varies	Process	3,500	28	45
Reliable Gas Co.	1	4925	25	Process	5,500	32	40
Long Wire, Inc.	1	3315	20	Process	2,000	30	45
Subtotal	4		Variable		15,000	120	180
E. Dry-Sanitary Only[3]							
Accountable Data, Inc. (Can be excluded-ICR)	1	7374	500	Sanitary	15,000	30	30
Total Industrial	8				450,000	2,300	2,800
COMMERCIAL[2]							
Miscellaneous	10	–	–	Sanitary	50,000	150	200
RESIDENTIAL[2]	3,000	–	–	Sanitary	1,000,000	1,700	2,000
Total Designated Capacity					1,500,000	4,150	5,000
Unreserved Excess Capacity					400,000	850	1,000
Total Design Capacity					1,900,000	5,000	6,000
Nonexcessive I/I Allowance					(100,000)	0	0
Design Capacity for ICR					1,800,000	5,000	6,000

NOTES:

[1] "Federal Guidelines—Industrial Cost Recovery Systems," February, 1976, Environmental Protection Agency. Page 10, Table 3.

[2] Ibid. Page 9, Table 2.

[3] Ibid. Page 5, para. 8, B(1) and Page 13, para. 9, A. If "dry" industries are excluded, appropriate credits for domestic waste should be applied to "wet" industries

FIGURE 9: CLASSIFYING AND QUANTIFYING USERS

DETERMINING THE ICR COST BASE

The user classification and quantification summary (see Figure 9) provides total flows and strengths illustrative of the situation at the time of ICR development. The grantee must then determine the flows and strengths subject to ICR by subtracting exclusions and exemptions. These totals can then be translated into capital costs per unit of treatment from grant cost data, as illustrated in Figure 10.

The industrial cost recovery share of grant assistance is limited (1) to that portion representative of industry's use or (2) to reserve capacity firmly committed to it [40 C.F.R. §35.928-1(g)].

Exemptions from ICR systems include grant projects or portions of projects for:

- correction or treatment of excessive I/I;
- corrections of combined sewer overflows;
- collection or treatment of stormwater; and
- those grantees who will not initially provide service to industry.

Typical exclusions from design flows and strengths for capital cost calculation purposes include:

- at the grantee's option, the deduction of segregated domestic wastewater or wastewater from sanitary conveniences from total flows; and
- in the case of expansion only, those establishments not requiring any of the expanded capacity if they have reserved a portion of an existing treatment works by a written contract or agreement effective March 1, 1973 or earlier.

Industrial users are not charged for unreserved excess capacity. In calculating design flows, grantees are permitted to deduct from total design capacity those flows directly attributable to "nonexcessive" infiltration and inflow (I/I) to arrive at design capacity for ICR purposes.

THE LOST RIVER SANITARY DISTRICT

1.9 MGD DESIGN CAPACITY NEW SECONDARY PLANT

CALCULATION OF APPLICABLE CAPACITY	Flow-G/D	BOD Lbs./D	S.S. Lbs./D
Total Design Capacity	1,900,000	5,000	6,000
Less Deductions:			
Nonexcessive I/I	(100,000)	0	0
Total Capacity for ICR Purposes	1,800,000	5,000	6,000

CALCULATION OF APPLICABLE COSTS[1]	Flow Related	BOD Related	S.S. Related	TOTAL COSTS
Step 1 Costs	$ 33,000	$ 12,000	$ 5,000	$ 50,000
Step 2 Costs	99,000	36,000	15,000	150,000
Step 3 Costs	1,217,000	453,000	185,000	1,855,000
Total Grant Eligible Costs	$1,348,000	$501,000	$205,000	$2,055,000
Less Step 2 Nonexcessive I/I Costs	(5,200)	0	0	(5,200)
Less Step 3 Nonexcessive I/I Costs	(64,000)	0	0	(64,000)
Less Step 3 Sewer Rehabilitation Costs	(10,000)	0	0	(10,000)
Total of All Costs for ICR Purposes	$1,269,800	$501,000	$205,000	$1,975,800
75% Federal Grant Portion Equals Total Grant Amounts for ICR Purposes	$952,350	$375,750	$153,750	$1,481,850
Total Grant Amounts for ICR Purposes	$952,350	$375,750	$153,750	
Divided by Total Capacity for ICR Purposes	1,800,000	5,000	6,000	
Equals ICR Unit Costs of Construction for the Useful Life of the Treatment Works[2]	$529.08/ 1,000 G/D	$75.15/ lbs./D	$25.62/ lbs./D	

[1] "Federal Guidelines – Industrial Cost Recovery Systems," February 1976, Environmental Protection Agency. Page 8, Table 1. Ibid. Page 7, "Grantees may allocate costs associated with flow, BOD, suspended solids, etc., to the treatment facility as a whole, without resorting to the component-by-component analysis shown in Table 1."

[2] Ibid. Page 9, Table 2.

FIGURE 10: EXAMPLE OF CALCULATIONS REQUIRED TO DETERMINE ICR UNIT COSTS

DETERMINING ICR PAYMENTS

Federal grant amounts subject to ICR are to be recovered from the industrial users over a period of time equal to 30 years or the useful life of the treatment works. The lesser time period is to be utilized [40 C.F.R. §35.928-1(b)].

Assuming that the ICR period has been established as 30 years, to determine capital costs per year, total capital cost rates from p. 21, bottom line, become:

$$\text{Flow} = \frac{\$529.08}{30} = \$17.636/1{,}000\ \text{G/D/Year}$$

$$\text{BOD} = \frac{\$\ 75.15}{30} = \$\ 2.505/\text{Lbs./D/Year}$$

$$\text{S.S.} = \frac{\$\ 25.62}{30} = \$\ 0.854/\text{Lbs./D/Year}$$

FIGURE 11: DETERMINATION OF ANNUAL ICR UNIT COST RATES

Multiplying the ICR annual unit cost rates by the industrial users' annual measured or estimated flows and contaminant loadings results in annual ICR payment determinations shown in the example in Figure 12 which also illustrates the distribution of payment requirements by users within groups based upon factors such as strength, volume, and delivery flow rate characteristics [40 C.F.R. §35.928-1(d)].

Figure 12 also indicates that the total ICR billings over the 30-year period would recover slightly more than $482,000, and that total ICR payments would be less than the total costs subject to ICR by the amounts not billed to residential and institutional users and those commercial establishments not included in Division I. It should be noted that, since each year's ICR billings will be a function of usage, there will probably be variations in the annual amounts.

THE LOST RIVER SANITARY DISTRICT

1.9 MGD NEW SECONDARY PLANT – 1977 START UP

USER	Design Daily Flow and Loadings	$17.636 1,000 G/D/Year Flow	$2.505 Lbs./D/Year BOD	$0.854 Lbs./D/Year S.S.	TOTAL
A. Significant (10%+) Sometime Oil	200,000 g flow 1,200 lbs. BOD 1,000 lbs. S.S.	$3,527.20	$3,006.00	$854.00	$ 7,387.20
B. Major (5-10%) Average Ice Cream	150,000 g flow 600 lbs. BOD 1,000 lbs. S.S.	2,645.40	1,503.00	854.00	$ 5,002.40
C. Minor (1-5%) Bouncy Baby Shoe	70,000 g flow 350 lbs. BOD 590 lbs. S.S.	1,234.52	876.75	503.86	$ 2,615.13
D. Minor Group (-1%) Daily Egg, Hot Fireclay, Reliable Gas, Long Wire } Design Average per User	3,750 g flow 30 lbs. BOD 45 lbs. S.S.	66.13	75.15	38.43 4 X $179.71 =	$ 718.84
E. Dry-Sanitary Only[1] Accountable Data, Inc.	15,000 g flow 30 lbs. BOD 30 lbs. S.S.	264.54	75.15	25.62	$ 365.31
Total ICR Per Year Payable for the First Year[2]					$ 16,088.88
Total ICR (1977-2007): at a constant rate would be 30 years X $16,088.88 =					$482,666.40

[1] Grantee has chosen not to exempt sanitary wastes.

[2] ICR is to be reevaluated and updated each year based upon monitoring of industrial users.

FIGURE 12: CALCULATION OF ANNUAL AND TOTAL ICR PAYMENTS REQUIREMENTS

DETERMINING ICR PAYMENTS (Continued)

In addition to ICR determinations for proportional sharing of capital costs within one grant, subsequent grants will require that the grantee again allocate costs in accordance with demand and anticipated usage by each establishment.

If there is an expansion or upgrading of the treatment works, each existing industrial user's share may be adjusted accordingly [40 C.F.R. §35.928-1(f)]. One exception exists which is covered in the Industrial Cost Recovery Guidelines, pages 5-6, Section 8(B)(2). This case covers agreements for reserved capacity existing as of March 1, 1973 with industrial users who have paid a reasonable portion of capital costs associated with that expansion capacity.

Figure 13 covers the "reserved capacity" case under which the industrial user has been making payments for actual flows and loadings and unused reserved flows and loadings since 1977 (Figures 9 and 12).

ICR IS ADDITIVE OVER TIME FOR EXPANSIONS AND UPGRADING

Sometime Oil Co.'s projected program is that the firm will require 100,000 G/D flow and associated loading in the new 1977 secondary plant and has signed an agreement to reserve equal capacity to permit doubling of its requirements in 1980. The company will require no additional capacity from the 1982 expansion. The treatment works is to be upgraded to AWT in 1985. Sometime Oil's share will be in proportion to its reserved usage in terms of the cost of upgrading, projected over an assumed 30 years. The AWT upgrading costs are assumed to be allocated 66 percent to flow; 24 percent to BOD; and 10 percent to suspended solids. The flow and loadings are assumed to be 4 MGD, 12,000 lbs./D of BOD, and 14,000 lbs./D of S.S. Sometime Oil Co.'s used and unused reserve capacities are 200,000 G/D, 1,200 lbs./D of BOD, and 1,000 lbs./D of S.S.

SOMETIME OIL COMPANY

Upgrade Calculations for AWT

										Total		Per Year
Flow	=	200,000 G/D / 4,000,000 G/D	X	$2,250,000	X	.66	=	$74,250.00	÷ 30	=	$2,475.00
BOD	=	1,200 lbs/D / 12,000 lbs/D	X	$2,250,000	X	.24	=	$54,000.00	÷ 30	=	$1,800.00
S.S.	=	1,000 lbs/D / 14,000 lbs/D	X	$2,250,000	X	.10	=	$16,071.41 / $144,321.41	÷ 30	=	$535.71 / $4,810.71

Date	Grant Sequence	Size	Type	Total Cost for ICR Purposes	Total Grant for ICR Purposes	Total Share	Share Per Year
1977	New	1.9 MGD	Secondary	$1,975,800	$1,481,850	$221,616.00	$7,387.20
1982	Expansion	2.1 MGD	Secondary	$2,500,000	$1,875,000	0.00	0.00[1]
1985	Upgrade	4.0 MGD	AWT	$3,000,000	$2,250,000	$144,321.40	$4,810.71

ICR Is Additive

Sometime Oil's annual payments between 1977-1985 will be $ 7,387.20/year.
between 1985-2007 will be $12,197.91/year.
between 2007-2015 will be $ 4,810.71/year.

[1] If Sometime Oil Co. had not reserved capacity in 1977, this industrial user's additional payments, over 1977 design flow and loading between 1982 and 1985, would be:

										Total Share		Share/Year
Flow	=	100,000 / 2,100,000	X	$1,875,000	X	.66	=	$58,928.51	÷ 30	=	$1,964.28
BOD	=	600 / 5,000	X	$1,875,000	X	.24	=	$54,000.00	÷ 30	=	$1,800.00
S.S.	=	500 / 6,000	X	$1,875,000	X	.10	=	$15,624.99 / $128,553.50	÷ 30	=	$520.83 / $4,285.11

In addition, the user would risk not being able to expand in 1980.

FIGURE 13: EXPANSION/UPGRADING PAYMENTS CALCULATIONS

BILLING

The grantee must assure that billings shall be made to and payments received from industrial users at least annually. The initial payment must be made by the date which coincides with the anniversary of the initiation of usage of the treatment works or of the completion of an improvement such as an expansion or upgrading [40 C.F.R. 35.928-1(c)].

Billing can be on an annual basis or can be more frequent. When grantees prepare ICR billings related to more than one grant project, they can submit commingled billings to each industrial user. Such billings should:

- indicate the amount owed relative to each grant; and
- indicate the total amount owed.

Since one of the objectives of PL 92-500 [Section 204(b)(2)(B)] is to generate increased awareness of the cost of treating sewage possessing strengths higher than normal residential flows, each ICR billing should also indicate, by grant, the breakdown of charges by design parameter (flow, BOD, SS, et al.). Billing calculations are simply a multiplication of actual use or total reserved capacity (used and unused), times the calculated ICR rates for each component. Figure 12 on page 23 illustrates the calculations for the industrial community.[1]

The example in Figure 14 illustrates a format of an annual ICR billing. An industrial user is billed both for used and unused reserve capacity of Flow, BOD, and Suspended Solids. The respective unit cost rates shown in this example are those derived in Figure 11 on page 22.

Each individual user's ICR billings may vary from year to year if usage increases. Total annual ICR payments to the grantee may increase in accordance with total industrial usage.[1]

To aid bringing ICR payment receipts into cycle with the grantee's fiscal year, initial or later billing for a partial year is permitted. Sequential billings and receipts can then conform to the grantee's accounting period throughout the life of the ICR period (i.e., 29 years) with an adjusted partial billing in the final year.[2]

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[1] Federal Guidelines – Industrial Cost Recovery Systems, February 1976, Environmental Protection Agency. Page 4, para 6(A) and para 7.

[2] Ibid. Page 15, para 16(A).

THE LOST RIVER SANITARY DISTRICT
14 GRANT AVENUE
ONETIME, OHIO 32323

February 1, 1978

Sometime Oil Co.
1433 Expansion Way
Onetime, Ohio 32324

TO THE LOST RIVER SANITARY DISTRICT DR.

Reference Grant No. C-39-1999

Industrial Cost Recovery payment for period March 1, 1977, through February 28, 1978.
Please arrange to have your payment in our office no later than February 28, 1978.

Flow:	100,000 g	used reserve		
	100,000 g	unused reserve		
	200,000 g	@ $17.636/1,000 g/d/year	$3,527	20
BOD:	600 lbs	used reserve		
	600 lbs	unused reserve		
	1,200 lbs	@ $2.505/lb/d/year	3,006	00
Suspended Solids:	500 lbs	used reserve		
	500 lbs	unused reserve		
	1,000 lbs	@ $0.854/lb/d/year	854	00
TOTAL DUE:			$7,387	20

Initial date of plant operation and service, March 1, 1977.

FIGURE 14: SAMPLE BILLING FORMAT

FUNDS MANAGEMENT
CASH CONTROL

Cash received by grantees as payments for amounts billed to industrial users for industrial cost recovery must be promptly invested.

Since the grantee will record every Industrial Cost Recovery billing as an "accounts receivable – Industrial Cost Recovery," the grantee's normal accounting for payments on accounts receivable will provide control of the recording of individual receipts.

However, in order to ensure prompt investment of ICR receipts, a supplementary record of cash received and invested must be maintained. This record should consider both cash received as payments on accounts receivable as well as cash received from investment income and from maturity of previous investments.

Figure 15 is an example of an appropriate system for controlling Industrial Cost Recovery cash and its investment. This format accomplishes the following requirements:

- Daily receipts are added to any beginning balance to determine total cash available for investment.
- Total daily receipts are considered, rather than individual receipts from specific industrial users. The grantee's accounts receivable system will control individual receipts.
- Investment principal and income receipts are both included.
- The record is *daily,* in order to facilitate prompt investment of available cash.
- Amounts invested are recorded, in order to determine an ending cash balance, which is in turn the beginning cash balance for the following day.

The illustration assumes:

- a beginning cash balance of $600;
- that the February 24 cash receipts consisted solely of payment of the bill sent to Sometime Oil Company on February 1, 1978 (page 27), and that February 25 receipts consisted of the remainder of payments of ICR billings for the first year (see page 23); and
- that $16,000 U.S. Treasury Notes were purchased at a price of $16,000.00 on February 25, 1978.

Subsequent entries in Figure 15 relate to the continuation of this example involving reinvestment as shown in Figure 16. The ending balance is carried to Figure 17 as total income and is there apportioned to derive the amount due to EPA and the amounts to be retained.

Investment guidelines are discussed in detail on page 30. As a general rule, no ICR balances in excess of a stated minimum (e.g., $1,000) should remain uninvested longer than a stated period of time (e.g., five business days). Prompt investment of available monies, so as to maximize investment income, is of paramount importance.

INDUSTRIAL COST RECOVERY CASH CONTROL RECORD

Grant No.: C-39-1999

DATE	CASH RECEIVED					
	Beginning Cash Balance (1)	From Payments On Accounts Receivable (2)	From Investment Principal Or Income (3)	Total Cash Available (1 + 2 + 3)	Cash Invested	Ending Balance
February 24, 1978	$ 600.00	$7,387.20	$ 0.00	$ 7,987.20		$ 7,987.20
February 25, 1978	$ 7,987.20	$8,701.68	$ 0.00	$16,688.88	$16,000.00	$ 688.88
October 1, 1978	$ 688.88		$16,560.00	$17,248.88		$17,248.88
October 3, 1978	$17,248.88			$17,248.88	$17,000.00	$ 248.88
January 31, 1979	$ 248.88		$17,368.00	$17,616.88		$17,616.88

FIGURE 15: EXAMPLE OF CASH RECORD

INVESTMENT

40 C.F.R. § 35.928-2 provides that 90 percent of the amounts recovered from industry must be temporarily invested prior to either repayment to EPA or expenditure for other authorized purposes. The regulations specifically state that the only permissible investments are:

- obligations of the U.S. Government;
- obligations guaranteed as to principal and interest by the U.S. Government or by an agency of the U.S. Government; and
- accounts fully collateralized by such obligations specified above.

Obligations of the U.S. Government

Direct obligations of the U.S. Government include:

- Treasury bills, which generally mature in less than one year;
- Treasury notes, which generally mature in one to five years; and
- Treasury bonds, which generally mature in more than five years.

Such obligations can be purchased for very short periods of time (i.e., a few days), and grantees are encouraged to invest cash that will be idle even for such short periods.

Obligations Guaranteed as to Principal and Interest by U.S. Government Agencies

There are two classes of investments that fall into this category. The first is that of savings accounts which are guaranteed by the Federal Deposit Insurance Corporation or the Federal Savings and Loan Insurance Corporation. These accounts are only insured up to $40,000. The second consists of those securities issued by instrumentalities of the United States, including the Intermediate Credit Banks, Federal Home Loan Banks, Federal Land Banks, and the Banks for Cooperatives.

Collateralized Accounts

Banks invest in the types of securities described above as a normal part of their business. They are frequently willing to use such investment securities as collateral for both the principal and interest of certificates of deposit issued by them. Grantees may invest amounts recovered from industry in bank certificates of deposit only to the extent that such collateral is provided.

To facilitate the control of actual investments of ICR receipts, the grantee should maintain a supplementary ICR investment record. Some grantees may now utilize an investment record system which may be adapted to ICR requirements. If not, a supplementary investment record should be adapted which will accommodate the following investment details:

- date of purchase;
- cost;
- description of the investment vehicle (U.S. Treasury Notes maturing September 30, 1978); and
- amount available for reinvestment at maturity.

Figure 16 (see below) is an example of a format for an investment record which will accomplish the foregoing requirements. This example has recorded the purchase of Treasury Notes referred to previously.

It is important to note that, when cash is available for investment, the Cash Record notes the amount available and the amount invested, while the Investment Record notes the details of the investment.

Correspondingly, when an investment has matured and funds are available for reinvestment, the Investment Record notes in its final two columns (date and amount) that an investment has matured, while the Cash Record incorporates the available funds in its determination of funds available for new investment.

To facilitate calculation of amounts to be disbursed to EPA (see page 33), it is recommended that all investments be scheduled to mature on, or immediately prior to, the end of the grantee's fiscal year, to simplify the calculation of the exact amount of investment income received during the fiscal year.

INDUSTRIAL COST RECOVERY INVESTMENT RECORD

Grant No.: C-39-1999

Date of Purchase	Cost	Description of Investment Vehicle	Date Available for Reinvestment	Amount Available for Reinvestment or Disbursement
2-25-78	$16,000.00	$16,000 U.S. Treasury 6% Notes Due 9-30-78	10-1-78	$16,560.00
10-3-78	$17,000.00	$17,000 U.S. Treasury 6½% Notes Due 1-31-79	2-1-79	$17,368.00

FIGURE 16: EXAMPLE OF ICR INVESTMENT RECORD

DISBURSEMENT

Ten percent of the original ICR payments can be invested or spent by the grantee, subject to two limitations. They may not be used for industrial pretreatment facilities or as rebates to industrial users.

Fifty percent of the original amount, together with 50 percent of the accumulated interest, is to be paid by check to the U.S. Environmental Protection Agency and forwarded to the Financial Management Office of the Regional Administrator. The closing date for making such payments has been established as no later than four months after the end of the grantee's annual accounting period.

The remaining 40 percent of the original amount is to continue to be invested in appropriate accounts (together with the optional 10 percent if desired) until its use is required by the grantee for expansion or reconstruction of the treatment works. Eligible costs are defined in 40 C.F.R. § 35.940. The written approval of the Regional Administrator is required prior to commitment of any of this 40 percent [40 C.F.R. § 35.928-2(b)]. Approval is not considered a grant, since these funds are considered to belong to the grantee.

Immediately following the close of the grantee's fiscal year, the grantee should determine, by grant:

- total ICR payments received during the year; and
- total investment income attributable to the year's ICR receipts (as noted on page 33). This calculation will be facilitated if all investments are scheduled to mature on, or immediately prior to, the close of the fiscal year.)

Of the total ICR payments received plus investment income earned, by grant:

- 50% must be scheduled for remittance to EPA no later than four (4) months after the close of the grantee's fiscal year (together with 50% of any investment income earned during the period between the fiscal year end and the remittance date). The check illustration, Figure 17, presents the format required to properly remit funds to EPA.
- 40% must be identified as a separate fund, appropriately invested, and retained until its use is approved.
- 10% may be used at the grantee's discretion, subject to the two limitations noted on page 32.

The grantee's accounts receivable system should be structured so as to quickly summarize the year's total ICR payments received.

In determining the year's investment income, it is recommended that all investment income during the year attributable to the year's ICR payments received, be credited to a specific revenue account. This revenue account should not reflect investment income from any other source.

RECEIPTS AND DISBURSEMENTS SUMMARY

INCOME		DISBURSEMENTS	
Cash Balance	$ 600.00	50% Due EPA	$ 8,808.44
ICR Payment	16,088.88	40% Retained, reinvested	7,046.75
Interest Income	928.00	10% Retained, flexible usage	1,761.69
Total	$17,616.88	Total	$17,616.88

CHECK

The Lost River Sanitary District
14 Grant Avenue
Onetime, Ohio 32323

Date February 20, 1979

Pay to U.S. Environmental Protection Agency $ 8,808.44

Eight Thousand Eight Hundred Eight and 44/100 Dollars

Signed _____

Submission of ICR Receipts
Grant C-39-1999

Employer
Identification
Number _____

NOTE: Make check out to U.S. E.P.A. and address to appropriate Regional Financial Management Office of EPA (see Appendix D). EPA, in turn, will deposit collections to a specific Treasury Department receipt symbol.

FIGURE 17: DISBURSEMENT SUMMARY AND CHECK/FORMAT

ICR DESIGN CHECKLIST

A checklist has been developed for periodic review of the progress in planning and designing the major components of an ICR system. It is anticipated that this checklist will aid the grantee and his consultants in assessing progress against major milestones, in highlighting any specific components which may be causing difficulties, and in reviewing the grantee's compliance with Steps 2 and 3 requirements.

The checklist identifies major systems' activities in a typical sequence. It is expected that each grantee's ICR effort will vary to some degree. A completed ICR system checklist accompanied by a brief narrative report can be of assistance to the grantee in measuring his own progress toward satisfying and completing each activity required for approval at, or prior to, the review points established by EPA. An example of such a checklist is shown in Figure 18. It lists the activities that must be completed prior to the 50% and 80% grant payment. Activity A must have been completed prior to approval of the grant Step 2 or 3 application. Activity B must be completed prior to payment of the 50% grant. Activity C, including all items, must be completed prior to payment of the 80% grant.

The format of the checklist allows the grantee and his consultants to monitor the progress of each activity through the preliminary, intermediate, and final stages leading to completion. The four stages are broad divisions of the work program. The preliminary stage is indicated as, for example, from 0-30% completion; the intermediate stage from 30-60%; the final stage from 60-90%; and the completed stage as 100%. This four-stage progression to completion allows the grantee to more closely define and control the progress of each activity of the ICR system design. Each grantee may establish different stages of completion for monitoring progress of each activity (i.e., 25-50-75-100%).

Although the checklist allows the grantee to monitor the progress of each activity against major milestones, it does not provide a basis for evaluating the satisfactory progress of the ICR system at different points in the construction program. Two illustrative examples follow, Figure 19, 40% Grant Payment, and Figure 20, 60% Grant Payment to aid comparison of progress and to show the usage of the checklist.

EPA GRANT NO. C-39-1999-06

NAME OF GRANTEE Lost River Sanitary District

GRANTEE'S ADDRESS 14 Grant Avenue
Onetime, Ohio 32323

NAME OF FACILITY Bubble Bridge

BRIEF DESCRIPTION New Secondary
1.9 MGD

NORMAL REVIEW POINT	ACTIVITY INVESTIGATED	ACTIVITY STATUS: Date Initiated	Planned Completion Date	Preliminary	Intermediate	Final	Completed	Actual Completion Date	REMARKS
A. Prior to Approval of Step 2 or 3 Grant Application	A.1 – Has the grantee submitted evidence of agreement to implement ICR?								
	A.2 – Have significant industrial users submitted letters of intent to the grantee stating period of use?								
B. Prior to Grantee Request for Payment of More Than 50% of Step 3 Grant	B.1 – Has the grantee identified staff, consultants and legal counsel responsible for the development of the ICR system?								
	B.2 – Has the grantee developed a detailed schedule for completion of all significant portions of the ICR system?								
C. Prior to Requesting Payment of More Than 80% of Step 3 Grant	C.1 – Has the grantee completed Appendix A including: • (a) definition and identification of industrial users? • (b) development of industrial data base? • (c) classification and quantification of user groups? • (d) determination of the ICR cost base? • (e) allocation of proportionate capital costs? • (f) descriptions of proposed billing procedures? • (g) establishment of the legal basis for the ICR system? • (h) description of funds management, investment, and disbursement systems? • (i) description of appeals procedure? • (j) methodologies for ICR system review and revision?								
	C.2 – Has the grantee completed Appendix B "Opinion of Legal Counsel" of the ICR Guidelines?								
	C.3 – Has the grantee passed a resolution or executed a written agreement covering implementation of the ICR system?								
	C.4 – Has the grantee submitted the ICR system to the EPA and received approval?								

X = Planned
✓ = Actual Status

FIGURE 18: ICR DESIGN CHECKLIST

40% GRANT PAYMENT ICR CHECKLIST

This exhibit, Figure 19, illustrates a suggested status for an ICR system when the construction program has reached the 40% point. Activities A.1 and A.2 should have been completed earlier. Activities B.1 and B.2 should be in the final stage. Activity C.1 can be initiated as soon as the staff is identified and a completion schedule has been developed. To evaluate the progress of this system, the grantee should:

- assign a start date and a projected completion date for each activity;
- indicate with a "✓" the actual status of each activity in the grantee's ICR system design;
- compare the progress indicated by the "✓" with the planned progress indicated by the "Xs"; and
- use the remarks column to note the activities which are lagging and direct the efforts of the ICR staff to concentrate on these activities to avoid delay in obtaining approval to permit obtaining the 50% payment on time.

The grantee and others can use this ICR status checklist to evaluate the progress of the design, pinpoint slow moving activities, and plan staff assignments accordingly.

EPA GRANT NO. C-39-1999-06
NAME OF GRANTEE Lost River Sanitary District
GRANTEE'S ADDRESS 14 Grant Avenue
Onetime, Ohio 32323
NAME OF FACILITY Bubble Bridge
BRIEF DESCRIPTION New Secondary
1.9 MGD

NORMAL REVIEW POINT	ACTIVITY INVESTIGATED	ACTIVITY STATUS: Date Initiated	Planned Completion Date	Preliminary	Intermediate	Final	Completed	Actual Completion Date	REMARKS
A. Prior to Approval of Step 2 or 3 Grant Application	A.1 – Has the grantee submitted evidence of agreement to implement ICR?	1-74	1-75				X√	12-74	Sent to EPA
	A.2 – Have significant industrial users submitted letters of intent to the grantee stating period of use?	1-74	1-75				X√	12-74	Letters on File
B. Prior to Grantee Request for Payment of More Than 50% of Step 3 Grant	B.1 – Has the grantee identified staff, consultants and legal counsel responsible for the development of the ICR system?	2-75	2-76				X√		On Schedule
	B.2 – Has the grantee developed a detailed schedule for completion of all significant portions of the ICR system?	2-75	2-76				X√		On Schedule
C. Prior to Requesting Payment of More Than 80% of Step 3 Grant	C.1 – Has the grantee completed Appendix A including: • (a) definition and identification of industrial users? • (b) development of industrial data base? • (c) classification and quantification of user groups? • (d) determination of the ICR cost base? • (e) allocation of proportionate capital costs? • (f) descriptions of proposed billing procedures? • (g) establishment of the legal basis for the ICR system? • (h) description of funds management, investment, and disbursement systems? • (i) description of appeals procedure? • (j) methodologies for ICR system review and revision?								
	C.2 – Has the grantee completed Appendix B "Opinion of Legal Counsel" of the ICR Guidelines?								
	C.3 – Has the grantee passed a resolution or executed a written agreement covering implementation of the ICR system?								
	C.4 – Has the grantee submitted the ICR system to the EPA and received approval?								

[1] These tasks can be initiated as soon as the schedule and staff are identified under the Step 3 grant activities B.1 and B.2 above. In many cases, Tasks C.1 (a), (b), and (c) will have been partially or completely accomplished during the Step 1 grant, Facilities Planning.

X = Planned
√ = Actual Status

FIGURE 19: 40% GRANT PAYMENT ICR CHECKLIST EXAMPLE

60% GRANT PAYMENT ICR CHECKLIST

To avoid delay of payment beyond 80% of the grant, the grantee should anticipate requirements and target completion of the ICR system design when the program reaches the 60% grant payment stage to permit EPA review and approval by the 70% completion point. This time allowance anticipates incorporating some late changes in the system, plus a second EPA review, and final approval prior to the 80% point.

The exhibit contains a suggested "Xs" status for an ICR system design at the 60% point. It is important to note that activities C.1 (a-j) should be completed and activities C.2 and C.3 should be in the final stage of completion to allow sufficient time for submittal of the ICR system design to EPA.

The exhibit also contains an example of a grantee's current status (represented by "√"). The example indicates that the grantee's ICR design is not progressing satisfactorily and activities C.1 (g) and C.1 (h) need immediate attention. The grantee can use the suggested status checklist to evaluate the progress of his ICR system and to plan the work assignments of the ICR staff.

EPA GRANT NO. C-39-1999-06
NAME OF GRANTEE Lost River Sanitary District
GRANTEE'S ADDRESS 14 Grant Avenue
Onetime, Ohio 32323
NAME OF FACILITY Bubble Bridge
BRIEF DESCRIPTION New Secondary
1.9 MGD

NORMAL REVIEW POINT	ACTIVITY INVESTIGATED	ACTIVITY STATUS: Date Initiated	Planned Completion Date	Preliminary	Intermediate	Final	Completed	Actual Completion Date	REMARKS
A. Prior to Approval of Step 2 or 3 Grant Application	A.1 – Has the grantee submitted evidence of agreement to implement ICR?	1-74	1-75				X✓	12-74	Sent to EPA
	A.2 – Have significant industrial users submitted letters of intent to the grantee stating period of use?	1-74	1-75				X✓	12-74	Letters on File
B. Prior to Grantee Request for Payment of More Than 50% of Step 3 Grant	B.1 – Has the grantee identified staff, consultants and legal counsel responsible for the development of the ICR system?	2-75	2-76				X✓	1-76	Staff On Board
	B.2 – Has the grantee developed a detailed schedule for completion of all significant portions of the ICR system?	2-75	2-76				X✓	1-76	Schedule Complete
C. Prior to Requesting Payment of More Than 80% of Step 3 Grant	C.1 – Has the grantee completed Appendix A including:								
	• (a) definition and identification of industrial users?	2-76	3-76				X✓	3-76	Summary on File
	• (b) development of industrial data base?	2-76	3-76				X✓	4-76	OK
	• (c) classification and quantification of user groups?	4-76	5-76				X✓	5-76	OK
	• (d) determination of the ICR cost base?	5-76	6-76			✓	X		Lagging
	• (e) allocation of proportionate capital costs?	6-76	8-76			✓	X		Behind Schedule
	• (f) descriptions of proposed billing procedures?	4-76	8-76			✓	X		Behind Schedule
	• (g) establishment of the legal basis for the ICR system?	2-76	8-76		✓		X		Needs Action
	• (h) description of funds management, investment, and disbursement systems?	2-76	8-76		✓		X		Needs Rush Action
	• (i) description of appeals procedure?	2-76	8-76		✓		X		Needs Action
	• (j) methodologies for ICR system review and revision?	2-76	8-76			✓	X		Behind Schedule
	C.2 – Has the grantee completed Appendix B "Opinion of Legal Counsel" of the ICR Guidelines?	8-76	9-76		✓	X			Waiting Appendix A
	C.3 – Has the grantee passed a resolution or executed a written agreement covering implementation of the ICR system?	6-76	10-76		✓	X			City Council Problem
	C.4 – Has the grantee submitted the ICR system to the EPA and received approval?		11-76						

X = Planned
✓ = Actual Status

FIGURE 20: 60% GRANT PAYMENT ICR CHECKLIST EXAMPLE

APPENDIX A

U.S. ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

GRANTS ADMINISTRATION DIVISION
GRANTS INFORMATION GUIDE

WWT CONSTRUCTION GRANT IDENTIFICATION

The construction of treatment works under Public Law 92-500 normally follows a three-step grant process:

Step 1 – Facilities Planning;
Step 2 – Preparation of construction drawings and specifications; and
Step 3 – Building and erection of the treatment works.

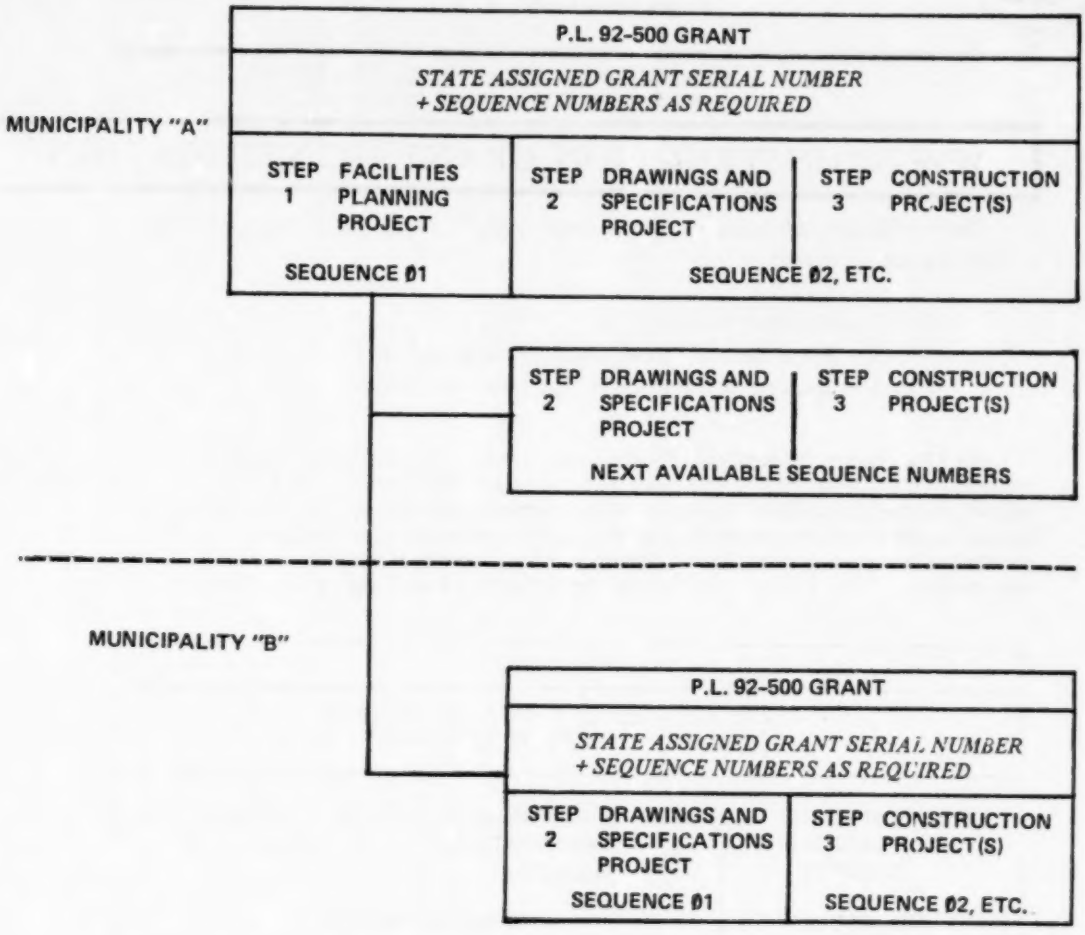
An EPA grant includes all the EPA supported projects of a single municipality required to plan, design and build a treatment works (see definition on page 4). It follows that the typical EPA funded WWT Construction grant will, upon completion, usually consist of one project for each Step. A grant can include only one Step 1 project and one grantee municipality. However, under some circumstances, a grant may consist of a Step 1 project followed by more than one Step 2 and/or Step 3 projects.

P. L. 92-500 GRANT		
STATE ASSIGNED GRANT SERIAL NUMBER + SEQUENCE NUMBERS AS REQUIRED		
STEP 1 FACILITIES PLANNING PROJECT	STEP 2 DRAWINGS AND SPECIFICATIONS PROJECT(S)	STEP 3 CONSTRUCTION PROJECT(S)
SEQUENCE 01	SEQUENCE 02, ETC.	

Under other circumstances, EPA financial assistance may not be requested until a municipality has reached the Step 2 or Step 3 stage and the grant might then involve only one or two projects.

APPLICANT–FUNDED FACILITIES PLAN	P. L. 92-500 GRANT	
	STATE ASSIGNED GRANT SERIAL NUMBER + SEQUENCE NUMBERS AS REQUIRED	
	STEP 2 DRAWINGS AND SPECIFICATIONS PROJECT(S)	STEP 3 CONSTRUCTION PROJECT(S)
	SEQUENCE 01, ETC.	

in still other circumstances, a Step 1 Facilities Planning grant to one municipality may result in Step 2 and/or Step 3 grants to other municipalities within the area covered by the Facilities Plan.


P.L. 92-500 GRANT
STATE ASSIGNED GRANT SERIAL NUMBER
+ SEQUENCE NUMBERS AS REQUIRED
MUNICIPALITY "A"
STEP 1 FACILITIES PLANNING PROJECT
SEQUENCE 01
STEP 2 DRAWINGS AND SPECIFICATIONS PROJECT
STEP 3 CONSTRUCTION PROJECT(S)
SEQUENCE 02, ETC.
STEP 2 DRAWINGS AND SPECIFICATIONS PROJECT
STEP 3 CONSTRUCTION PROJECT(S)
NEXT AVAILABLE SEQUENCE NUMBERS
MUNICIPALITY "B"
P.L. 92-500 GRANT
STATE ASSIGNED GRANT SERIAL NUMBER
+ SEQUENCE NUMBERS AS REQUIRED
STEP 2 DRAWINGS AND SPECIFICATIONS PROJECT
SEQUENCE 01
STEP 3 CONSTRUCTION PROJECT(S)
SEQUENCE 02, ETC.

Whatever the circumstances, each grant consists of and includes all the EPA funded projects for a grantee municipality to complete the specific job without regard to the time phasing of the projects.

The State assigns an EPA Grant Identification Number to each proposed grant and its component projects to identify the scope of work which the municipality is expected to carry out. The scope of work will be officially spelled out in the Grant Agreement signed by the municipality and EPA when the first project is funded and by Grant Amendments issued to fund any subsequent related projects (See CFR Title 40, Chapter 1, Part 35, Introduction).

APPENDIX A (Continued)

The EPA Grant Identification Number consists of:

Program Code – The letter "C" identifies the WWT Construction Grant Program.

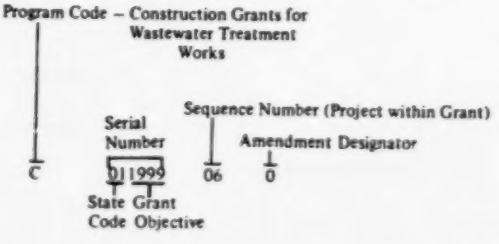
Serial Number – Six digit numbers from 010000 - 789999 are reserved for Construction Grants for Wastewater Treatment Works - the first 2 digits serve to identify the State; the last 4 digits identify the need and/or grant objective which the proposed grant will satisfy.

In accordance with Section 35.903(e) of the Final Construction Grant Regulations (Federal Register, Vol. 39, No. 29, February 11, 1974, p. 5254), this 6-digit Serial Number identifies the basic grant application and award, and any awards to the same grantee municipality for subsequent related projects. This 6-digit Serial Number will, therefore, be carried forward to all related projects of the municipality meeting the same grant objective, regardless of the fiscal year in which the project may be submitted to EPA. The grant objective is defined by the approved Facilities Plan.

The 6-digit Serial Number is assigned by the State not later than the time the first component project within the grant is included in the State's Project Priority List.

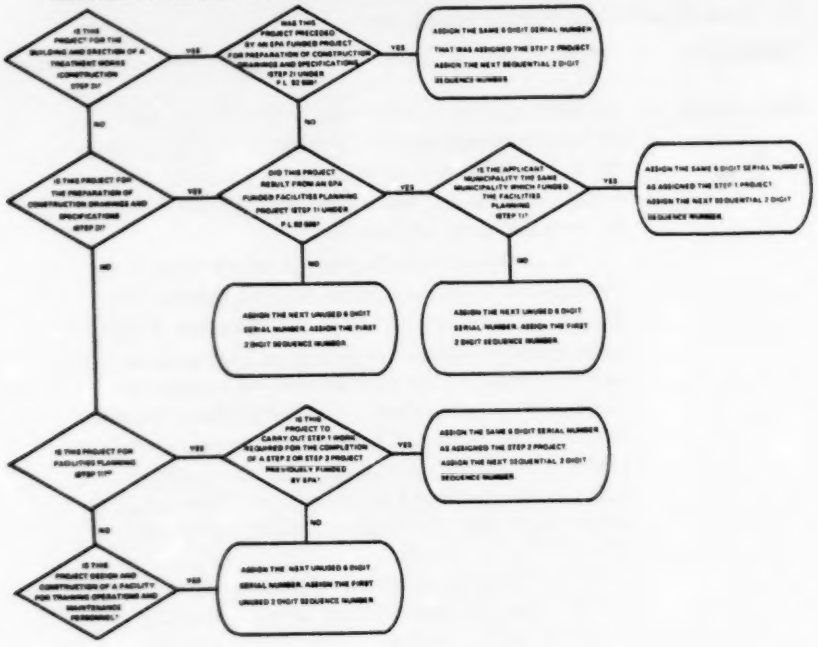
Sequence Number – A two-digit number (01, 02, etc.) assigned sequentially by the State to identify the first and each succeeding project planned as a part of the grant to the municipality to meet the identified grant objective, i.e. the work spelled out in the approved Facilities Plan. These are assigned sequentially, beginning with "01", without reference to the fiscal year in which the project may be included in the State Project Priority List or in which the application for funding is submitted. Sequence Numbers are normally assigned not later than the time the project is included in the State's Project Priority List. Note that the Sequence Number does not indicate the Project Step.

Amendment Designator – A one-digit number assigned sequentially by the appropriate EPA regional office to identify each administrative revision executed on a funded project within a WWT Construction Grant. A zero will be entered for the original project application; amendments thereto will be numbered sequentially "1" - "9", followed by "A" - "Z".



APPENDIX A (Continued)

ASSIGNMENT OF EPA GRANT IDENTIFICATION NUMBERS TO WWT CONSTRUCTION PROJECTS BY THE STATES


IS THIS PROJECT FOR THE BUILDING AND ERECTION OF A TREATMENT WORKS CONSTRUCTION (STEP 3)?
YES
WAS THIS PROJECT PRECEDED BY AN EPA FUNDED PROJECT FOR PREPARATION OF CONSTRUCTION DRAWINGS AND SPECIFICATIONS (STEP 2) UNDER P.L. 92-500?
YES
ASSIGN THE SAME 6 DIGIT SERIAL NUMBER THAT WAS ASSIGNED THE STEP 2 PROJECT. ASSIGN THE NEXT SEQUENTIAL 2 DIGIT SEQUENCE NUMBER
NO
NO
IS THIS PROJECT FOR THE PREPARATION OF CONSTRUCTION DRAWINGS AND SPECIFICATIONS (STEP 2)?
YES
DID THIS PROJECT RESULT FROM AN EPA FUNDED FACILITIES PLANNING PROJECT (STEP 1) UNDER P.L. 92-500?
YES
IS THE APPLICANT MUNICIPALITY THE SAME MUNICIPALITY WHICH FUNDED THE FACILITIES PLANNING (STEP 1)?
YES
ASSIGN THE SAME 6 DIGIT SERIAL NUMBER AS ASSIGNED THE STEP 1 PROJECT. ASSIGN THE NEXT SEQUENTIAL 2 DIGIT SEQUENCE NUMBER.
NO
NO
ASSIGN THE NEXT UNUSED 6 DIGIT SERIAL NUMBER. ASSIGN THE FIRST 2 DIGIT SEQUENCE NUMBER
NO
ASSIGN THE NEXT UNUSED 6 DIGIT SERIAL NUMBER. ASSIGN THE FIRST 2 DIGIT SEQUENCE NUMBER
IS THIS PROJECT FOR FACILITIES PLANNING (STEP 1)?
YES
IS THIS PROJECT TO CARRY OUT STEP 1 WORK REQUIRED FOR THE COMPLETION OF A STEP 2 OR STEP 3 PROJECT PREVIOUSLY FUNDED BY EPA?
YES
ASSIGN THE SAME 6 DIGIT SERIAL NUMBER AS ASSIGNED THE STEP 2 PROJECT. ASSIGN THE NEXT SEQUENTIAL 2 DIGIT SEQUENCE NUMBER
NO
IS THIS PROJECT DESIGN AND CONSTRUCTION OF A FACILITY FOR TRAINING, OPERATIONS AND MAINTENANCE PERSONNEL?
YES
ASSIGN THE NEXT UNUSED 6 DIGIT SERIAL NUMBER. ASSIGN THE FIRST UNUSED 2 DIGIT SEQUENCE NUMBER

[illegible] ADDITIONAL STEP 1 WORK IS REQUIRED TO CORRECT OR UPDATE AN APPROVED FACILITY PLAN, OR OTHERWISE MEET STEP 1 REQUIREMENTS SUCH AS INFILTRATION/INFLOW ANALYSIS, FUNDING OF SUCH WORK WILL NORMALLY BE BY AMENDMENT OF THE STEP 1 PROJECT THAT PRODUCED THE FACILITY PLAN.

NOTE: PROJECTS ONCE INCLUDED ON A STATE PROJECT PRIORITY LIST AND SUBSEQUENTLY WITHDRAWN, EITHER BEFORE OR AFTER EPA FUNDING, RETAIN THEIR GRANT SERIAL NUMBER AND SEQUENCE NUMBER. ANY SUBSEQUENT PROJECTS FOR THE SAME GRANT OBJECTIVE SHOULD BE ASSIGNED THE NEXT SEQUENCE NUMBER AVAILABLE.

SEQUENCE NUMBERS WILL NORMALLY BE ASSIGNED IN SEQUENTIAL ORDER. HOWEVER, WHEN A MUNICIPALITY'S FACILITY PLAN WILL GENERATE A NUMBER OF STEP 2 PROJECTS WHICH IS TURNKEY SUCH GENERATE A NUMBER OF STEP 3 PROJECTS, THE STATE AND MUNICIPALITY MAY FIND ASSIGN SEQUENCE NUMBERS 01-99 IN MEANINGFUL BLOCKS WITHOUT ADHERENCE TO SEQUENTIAL ORDER. FOR EXAMPLE ONE METHODOLOGY IS:

(1) ASSIGN THE STEP ONE PROJECT SEQUENCE 01
(2) ASSIGN THE STEP TWO PROJECTS SEQUENCE NUMBERS DIVISIBLE BY 10 (10, 20, [illegible] 90)
(3) ASSIGN STEP THREE PROJECTS SEQUENCE NUMBERS (11-19, 21-29, [illegible] 91-99) SEQUENTIALLY FOLLOWING THE SEQUENCE NUMBER OF THE RESPECTIVE STEP TWO PROJECT. THIS SPECIFIC METHODOLOGY ACCOMMODATES A MAXIMUM OF 9 STEP THREE PROJECTS RESULTING FROM ANY STEP TWO PROJECT.

DEFINITION OF TERMS

PROJECT — § 35.905–15 PROJECT. THE SCOPE OF WORK FOR WHICH FEDERAL ASSISTANCE IS AWARDED BY A GRANT OR GRANT AMENDMENT PURSUANT TO THIS SUBPART. FOR THE PURPOSES OF THIS SUBPART, THE SCOPE OF WORK IS DEFINED AS STEP 1, STEP 2, OR STEP 3 OF TREATMENT WORKS CONSTRUCTION OR SEGMENTS THEREOF (SEE § 35.905–24 AND § 35.938–4).

TREATMENT WORKS — § 35.905–22 TREATMENT WORKS. ANY DEVICES AND SYSTEMS USED IN THE STORAGE, TREATMENT, RECYCLING, AND RECLAMATION OF MUNICIPAL SEWAGE OR INDUSTRIAL WASTES OF A LIQUID NATURE TO IMPLEMENT SECTION 201 OF THE ACT, OR NECESSARY TO RECYCLE OR REUSE WATER AT THE MOST ECONOMICAL COST OVER THE USEFUL LIFE OF THE WORKS, INCLUDING INTERCEPTING SEWERS, OUTFALL SEWERS, SEWAGE COLLECTION SYSTEMS, PUMPING, POWER, AND OTHER EQUIPMENT AND THEIR APPURTENANCES; EXTENSIONS, IMPROVEMENT, REMODELING, ADDITIONS, AND ALTERATIONS THEREOF; ELEMENTS ESSENTIAL TO PROVIDE A RELIABLE RECYCLED SUPPLY SUCH AS STANDBY TREATMENT UNITS AND CLEAR WELL FACILITIES; AND ANY WORKS, INCLUDING SITE ACQUISITION OF THE LAND THAT WILL BE AN INTEGRAL PART OF THE TREATMENT PROCESS OR IS USED FOR ULTIMATE DISPOSAL OF RESIDUES RESULTING FROM SUCH TREATMENT, OR ANY OTHER METHOD OR SYSTEM FOR PRESERVING, ABATING, REDUCING, STORING, TREATING, SEPARATING, OR DISPOSING OF MUNICIPAL WASTE, INCLUDING STORM WATER RUN-OFF, OR INDUSTRIAL WASTE, INCLUDING WASTE IN COMBINED STORM WATER AND SANITARY SEWER SYSTEMS.

SERIAL NUMBER — 6 NUMERIC DIGITS IN WHICH THE FIRST TWO SERVE TO IDENTIFY THE STATE AND THE LAST FOUR TO IDENTIFY THE NEED AND/OR GRANT OBJECTIVE.

SEQUENCE NUMBER — 2 NUMERIC DIGITS WHICH IDENTIFY SEQUENTIALLY THE SPECIFIC PROJECTS—THE ORIGINAL (NEW) AND SUBSEQUENT RELATED PROJECTS (CONTINUATIONS)—WITHIN A PARTICULAR GRANT.

GRANTS INFORMATION BRANCH 10/76

APPENDIX B

SHORT SIC TITLES[1]

A. AGRICULTURE, FORESTRY, AND FISHING

Code	Short Title
01	AGRICULTURAL PRODUCTION—CROPS
011	Cash Grains
0111	Wheat
0112	Rice
0115	Corn
0116	Soybeans
0119	Cash grains, nec
013	Field Crops, Except Cash Grains
0131	Cotton
0132	Tobacco
0133	Sugar crops
0134	Irish potatoes
0139	Field crops, except cash grains, nec
016	Vegetables and Melons
0161	Vegetables and melons
017	Fruits and Tree Nuts
0171	Berry crops
0172	Grapes
0173	Tree nuts
0174	Citrus fruits
0175	Deciduous tree fruits
0179	Fruits and tree nuts, nec
018	Horticultural Specialties
0181	Ornamental nursery products
0182	Food crops grown under cover
0189	Horticultural specialties, nec
019	General Farms, Primarily Crop
0191	General farms, primarily crop
02	AGRICULTURAL PRODUCTION—LIVESTOCK
021	Livestock, exc. Dairy, Poultry, etc.
0211	Beef cattle feedlots
0212	Beef cattle, except feedlots
0213	Hogs
0214	Sheep and goats
0219	General livestock, nec
024	Dairy Farms
0241	Dairy farms
025	Poultry and Eggs
0251	Broiler, fryer, and roaster chickens
0252	Chicken eggs
0253	Turkeys and turkey eggs
0254	Poultry hatcheries
0259	Poultry and eggs, nec
027	Animal Specialties
0271	Fur-bearing animals and rabbits
0272	Horses and other equines
0279	Animal specialties, nec
029	General Farms, Primarily Livestock
0291	General farms, primarily livestock
07	AGRICULTURAL SERVICES
071	Soil Preparation Services
0711	Soil preparation services
072	Crop Services
0721	Crop planting and protection
0722	Crop harvesting
0723	Crop preparation services for market
0724	Cotton ginning
0729	General crop services
074	Veterinary Services
0741	Veterinary services, farm livestock
0742	Veterinary services, specialties
075	Animal Services, Except Veterinary
0751	Livestock services, exc. specialties
0752	Animal specialty services
076	Farm Labor and Management Services
0761	Farm labor contractors
0762	Farm management services
078	Landscape and Horticultural Services
0781	Landscape counseling and planning
0782	Lawn and garden services
0783	Ornamental shrub and tree services
08	FORESTRY
081	Timber Tracts
0811	Timber tracts
082	Forest Nurseries and Seed Gathering
0821	Forest nurseries and seed gathering
084	Gathering of Misc. Forest Products
0843	Extraction of pine gum
0849	Gathering of forest products, nec
085	Forestry Services
0851	Forestry services
09	FISHING, HUNTING, AND TRAPPING
091	Commercial Fishing
0912	Finfish
0913	Shellfish
0919	Miscellaneous marine products
092	Fish Hatcheries and Preserves
0921	Fish hatcheries and preserves
097	Hunting, Trapping, Game Propagation
0971	Hunting, trapping, game propagation

B. MINING

10	METAL MINING
101	Iron Ores
1011	Iron ores
102	Copper Ores
1021	Copper ores
103	Lead and Zinc Ores
1031	Lead and zinc ores
104	Gold and Silver Ores
1041	Gold ores
1044	Silver ores
105	Bauxite and Other Aluminum Ores
1051	Bauxite and other aluminum ores
106	Ferroalloy Ores, Except Vanadium
1061	Ferroalloy ores, except vanadium
108	Metal Mining Services
1081	Metal mining services
109	Miscellaneous Metal Ores
1092	Mercury ores

[1] Standard Industrial Classification Manual: 1972, Executive Office of the President, Office of Management and Budget, Washington, D.C.

Code	Short Title
1094	Uranium-radium-vanadium ores
1099	Metal ores, nec
11	ANTHRACITE MINING
111	Anthracite Mining
1111	Anthracite
1112	Anthracite mining services
12	BITUMINOUS COAL AND LIGNITE MINING
121	Bituminous Coal and Lignite Mining
1211	Bituminous coal and lignite
1213	Bituminous & lignite mining services
13	OIL AND GAS EXTRACTION
131	Crude Petroleum and Natural Gas
1311	Crude petroleum and natural gas
132	Natural Gas Liquids
1321	Natural gas liquids
138	Oil and Gas Field Services
1381	Drilling oil and gas wells
1382	Oil and gas exploration services
1389	Oil and gas field services, nec
14	NONMETALLIC MINERALS, EXCEPT FUELS
141	Dimension Stone
1411	Dimension stone
142	Crushed and Broken Stone
1422	Crushed and broken limestone
1423	Crushed and broken granite
1429	Crushed and broken stone, nec
144	Sand and Gravel
1442	Construction sand and gravel
1446	Industrial sand
145	Clay and Related Minerals
1452	Bentonite
1453	Fire clay
1454	Fuller's earth
1455	Kaolin and ball clay
1459	Clay and related minerals, nec
147	Chemical and Fertilizer Minerals
1472	Barite
1473	Fluorspar
1474	Potash, soda, and borate minerals
1475	Phosphate rock
1476	Rock salt
1477	Sulfur
1479	Chemical and fertilizer mining, nec
148	Nonmetallic Minerals Services
1481	Nonmetallic minerals services
149	Miscellaneous Nonmetallic Minerals
1492	Gypsum
1496	Talc, soapstone, and pyrophyllite
1499	Nonmetallic minerals, nec

D. MANUFACTURING

Code	Short Title
20	FOOD AND KINDRED PRODUCTS
201	Meat Products
2011	Meat packing plants
2013	Sausages and other prepared meats
2016	Poultry dressing plants
2017	Poultry and egg processing
202	Dairy Products
2021	Creamery butter
2022	Cheese, natural and processed
2023	Condensed and evaporated milk
2024	Ice cream and frozen desserts
2026	Fluid milk
203	Preserved Fruits and Vegetables
2032	Canned specialties
2033	Canned fruits and vegetables
2034	Dehydrated fruits, vegetables, soups
2035	Pickles, sauces, and salad dressings
2037	Frozen fruits and vegetables
2038	Frozen specialties
204	Grain Mill Products
2041	Flour and other grain mill products
2043	Cereal breakfast foods
2044	Rice milling
2045	Blended and prepared flour
2046	Wet corn milling
2047	Dog, cat, and other pet food
2048	Prepared feeds, nec
205	Bakery Products
2051	Bread, cake, and related products
2052	Cookies and crackers
206	Sugar and Confectionery Products
2061	Raw cane sugar
2062	Cane sugar refining
2063	Beet sugar
2065	Confectionery products
2066	Chocolate and cocoa products
2067	Chewing gum
207	Fats and Oils
2074	Cottonseed oil mills
2075	Soybean oil mills
2076	Vegetable oil mills, nec
2077	Animal and marine fats and oils
2079	Shortening and cooking oils
208	Beverages
2082	Malt beverages
2083	Malt
2084	Wines, brandy, and brandy spirits
2085	Distilled liquor, except brandy
2086	Bottled and canned soft drinks
2087	Flavoring extracts and sirups, nec
209	Misc. Foods and Kindred Products
2091	Canned and cured seafoods

APPENDIX B (Continued)

Code	Short Title
2092	Fresh or frozen packaged fish
2095	Roasted coffee
2097	Manufactured ice
2098	Macaroni and spaghetti
2099	Food preparations, nec
21	TOBACCO MANUFACTURES
211	Cigarettes
2111	Cigarettes
212	Cigars
2121	Cigars
213	Chewing and Smoking Tobacco
2131	Chewing and smoking tobacco
214	Tobacco Stemming and Redrying
2141	Tobacco stemming and redrying
22	TEXTILE MILL PRODUCTS
221	Weaving Mills, Cotton
2211	Weaving mills, cotton
222	Weaving Mills, Synthetics
2221	Weaving mills, synthetics
223	Weaving and Finishing Mills, Wool
2231	Weaving and finishing mills, wool
224	Narrow Fabric Mills
2241	Narrow fabric mills
225	Knitting mills
2251	Women's hosiery, except socks
2252	Hosiery, nec
2253	Knit outerwear mills
2254	Knit underwear mills
2257	Circular knit fabric mills
2258	Warp knit fabric mills
2259	Knitting mills, nec
226	Textile Finishing, Except Wool
2261	Finishing plants, cotton
2262	Finishing plants, synthetics
2269	Finishing plants, nec
227	Floor Covering Mills
2271	Woven carpets and rugs
2272	Tufted carpets and rugs
2279	Carpets and rugs, nec
228	Yarn and Thread Mills
2281	Yarn mills, except wool
2282	Throwing and winding mills
2283	Wool yarn mills
2284	Thread mills
229	Miscellaneous Textile Goods
2291	Felt goods, exc. woven felts & hats
2292	Lace goods
2293	Paddings and upholstery filling
2294	Processed textile waste
2295	Coated fabrics, not rubberized
2296	Tire cord and fabric
2297	Nonwoven fabrics
2298	Cordage and twine
2299	Textile goods, nec
23	APPAREL AND OTHER TEXTILE PRODUCTS
231	Men's and Boys' Suits and Coats
2311	Men's and boys' suits and coats
232	Men's and Boys' Furnishings
2321	Men's and boys' shirts and nightwear
2322	Men's and boys' underwear
2323	Men's and boys' neckwear
2327	Men's and boys' separate trousers
2328	Men's and boys' work clothing
2329	Men's and boys' clothing, nec
233	Women's and Misses' Outerwear
2331	Women's & misses' blouses & waists
2335	Women's and misses' dresses
2337	Women's and misses' suits and coats
2339	Women's and misses' outerwear, nec
234	Women's and Children's Undergarments
2341	Women's and children's underwear
2342	Brassieres and allied garments
235	Hats, Caps, and Millinery
2351	Millinery
2352	Hats and caps, except millinery
236	Children's Outerwear
2361	Children's dresses and blouses
2363	Children's coats and suits
2369	Children's outerwear, nec
237	Fur Goods
2371	Fur goods
238	Miscellaneous Apparel and Accessories
2381	Fabric dress and work gloves
2384	Robes and dressing gowns
2385	Waterproof outergarments
2386	Leather and sheep lined clothing
2387	Apparel belts
2389	Apparel and accessories, nec
239	Misc. Fabricated Textile Products
2391	Curtains and draperies
2392	House furnishings, nec
2393	Textile bags
2394	Canvas and related products
2395	Pleating and stitching
2396	Automotive and apparel trimmings
2397	Schiffli machine embroideries
2399	Fabricated textile products, nec
24	LUMBER AND WOOD PRODUCTS
241	Logging Camps & Logging Contractors
2411	Logging camps & logging contractors
242	Sawmills and Planing Mills
2421	Sawmills and planing mills, general
2426	Hardwood dimension and flooring
2429	Special product sawmills, nec
243	Millwork, Plywood & Structural Members
2431	Millwork
2434	Wood kitchen cabinets
2435	Hardwood veneer and plywood
2436	Softwood veneer and plywood
2439	Structural wood members, nec
244	Wood Containers
2441	Nailed wood boxes and shook
2448	Wood pallets and skids
2449	Wood containers, nec

APPENDIX B (Continued)

Code	Short Title
245	**Wood Buildings and Mobile Homes**
2451	Mobile homes
2452	Prefabricated wood buildings
249	**Miscellaneous Wood Products**
2491	Wood preserving
2492	Particleboard
2499	Wood products, nec
25	FURNITURE AND FIXTURES
251	**Household Furniture**
2511	Wood household furniture
2512	Upholstered household furniture
2514	Metal household furniture
2515	Mattresses and bedsprings
2517	Wood TV and radio cabinets
2519	Household furniture, nec
252	**Office Furniture**
2521	Wood office furniture
2522	Metal office furniture
253	**Public Building & Related Furniture**
2531	Public building & related furniture
254	**Partitions and Fixtures**
2541	Wood partitions and fixtures
2542	Metal partitions and fixtures
259	**Miscellaneous Furniture and Fixtures**
2591	Drapery hardware & blinds & shades
2599	Furniture and fixtures, nec
26	PAPER AND ALLIED PRODUCTS
261	**Pulp Mills**
2611	Pulp mills
262	**Paper Mills, Except Building Paper**
2621	Paper mills, except building paper
263	**Paperboard Mills**
2631	Paperboard mills
264	**Misc. Converted Paper Products**
2641	Paper coating and glazing
2642	Envelopes
2643	Bags, except textile bags
2645	Die-cut paper and board
2646	Pressed and molded pulp goods
2647	Sanitary paper products
2648	Stationery products
2649	Converted paper products, nec
265	**Paperboard Containers and Boxes**
2651	Folding paperboard boxes
2652	Set-up paperboard boxes
2653	Corrugated and solid fiber boxes
2654	Sanitary food containers
2655	Fiber cans, drums & similar products
266	**Building Paper and Board Mills**
2661	Building paper and board mills
27	PRINTING AND PUBLISHING
271	**Newspapers**
2711	Newspapers
272	**Periodicals**
2721	Periodicals
273	**Books**
2731	Book publishing
2732	Book printing
274	**Miscellaneous Publishing**
2741	Miscellaneous publishing
275	**Commercial Printing**
2751	Commercial printing, letterpress
2752	Commercial printing, lithographic
2753	Engraving and plate printing
2754	Commercial printing, gravure
276	**Manifold Business Forms**
2761	Manifold business forms
277	**Greeting Card Publishing**
2771	Greeting card publishing
278	**Blankbooks and Bookbinding**
2782	Blankbooks and looseleaf binders
2789	Bookbinding and related work
279	**Printing Trade Services**
2791	Typesetting
2796	Photoengraving
2794	Electrotyping and stereotyping
2795	Lithographic platemaking services
28	CHEMICALS AND ALLIED PRODUCTS
281	**Industrial Inorganic Chemicals**
2812	Alkalies and chlorine
2813	Industrial gases
2816	Inorganic pigments
2819	Industrial inorganic chemicals, nec
282	**Plastics Materials and Synthetics**
2821	Plastics materials and resins
2822	Synthetic rubber
2823	Cellulosic man-made fibers
2824	Organic fibers, noncellulosic
283	**Drugs**
2831	Biological products
2833	Medicinals and botanicals
2834	Pharmaceutical preparations
284	**Soap, Cleaners, and Toilet Goods**
2841	Soap and other detergents
2842	Polishes and sanitation goods
2843	Surface active agents
2844	Toilet preparations
285	**Paints and Allied Products**
2851	Paints and allied products
286	**Industrial Organic Chemicals**
2861	Gum and wood chemicals
2865	Cyclic crudes and intermediates
2869	Industrial organic chemicals, nec
287	**Agricultural Chemicals**
2873	Nitrogenous fertilizers
2874	Phosphatic fertilizers
2875	Fertilizers, mixing only
2879	Agricultural chemicals, nec
289	**Miscellaneous Chemical Products**
2891	Adhesives and sealants
2892	Explosives
2893	Printing ink
2895	Carbon black
2899	Chemical preparations, nec

APPENDIX B (Continued)

Code	Short Title
29	PETROLEUM AND COAL PRODUCTS
291	Petroleum Refining
2911	Petroleum refining
295	Paving and Roofing Materials
2951	Paving mixtures and blocks
2952	Asphalt felts and coatings
299	Misc. Petroleum and Coal Products
2992	Lubricating oils and greases
2999	Petroleum and coal products, nec
30	RUBBER AND MISC. PLASTICS PRODUCTS
301	Tires and Inner Tubes
3011	Tires and inner tubes
302	Rubber and Plastics Footwear
3021	Rubber and plastics footwear
303	Reclaimed Rubber
3031	Reclaimed rubber
304	Rubber and Plastics Hose and Belting
3041	Rubber and plastics hose and belting
306	Fabricated Rubber Products, nec
3069	Fabricated rubber products, nec
307	Miscellaneous Plastics Products
3079	Miscellaneous plastics products
31	LEATHER AND LEATHER PRODUCTS
311	Leather Tanning and Finishing
3111	Leather tanning and finishing
313	Boot and Shoe Cut Stock and Findings
3131	Boot and shoe cut stock and findings
314	Footwear, Except Rubber
3142	House slippers
3143	Men's footwear, except athletic
3144	Women's footwear, except athletic
3149	Footwear, except rubber, nec
315	Leather Gloves and Mittens
3151	Leather gloves and mittens
316	Luggage
3161	Luggage
317	Handbags and Personal Leather Goods
3171	Women's handbags and purses
3172	Personal leather goods, nec
319	Leather Goods, nec
3199	Leather goods, nec
32	STONE, CLAY, AND GLASS PRODUCTS
321	Flat Glass
3211	Flat glass
322	Glass and Glassware, Pressed or Blown
3221	Glass containers
3229	Pressed and blown glass, nec
323	Products of Purchased Glass
3231	Products of purchased glass
324	Cement, Hydraulic
3241	Cement, hydraulic
325	Structural Clay Products
3251	Brick and structural clay tile
3253	Ceramic wall and floor tile
3255	Clay refractories
3259	Structural clay products, nec
326	Pottery and Related Products
3261	Vitreous plumbing fixtures
3262	Vitreous china food utensils
3263	Fine earthenware food utensils
3264	Porcelain electrical supplies
3269	Pottery products, nec
327	Concrete, Gypsum, and Plaster Products
3271	Concrete block and brick
3272	Concrete products, nec
3273	Ready-mixed concrete
3274	Lime
3275	Gypsum products
328	Cut Stone and Stone Products
3281	Cut stone and stone products
329	Misc. Nonmetallic Mineral Products
3291	Abrasive products
3292	Asbestos products
3293	Gaskets, packing and sealing devices
3295	Minerals, ground or treated
3296	Mineral wool
3297	Nonclay refractories
3299	Nonmetallic mineral products, nec
33	PRIMARY METAL INDUSTRIES
331	Blast Furnace and Basic Steel Products
3312	Blast furnaces and steel mills
3313	Electrometallurgical products
3315	Steel wire and related products
3316	Cold finishing of steel shapes
3317	Steel pipe and tubes
332	Iron and Steel Foundries
3321	Gray iron foundries
3322	Malleable iron foundries
3324	Steel investment foundries
3325	Steel foundries, nec
333	Primary Nonferrous Metals
3331	Primary copper
3332	Primary lead
3333	Primary zinc
3334	Primary aluminum
3339	Primary nonferrous metals, nec
334	Secondary Nonferrous Metals
3341	Secondary nonferrous metals
335	Nonferrous Rolling and Drawing
3351	Copper rolling and drawing
3353	Aluminum sheet, plate, and foil
3354	Aluminum extruded products
3355	Aluminum rolling and drawing, nec
3356	Nonferrous rolling and drawing, nec
3357	Nonferrous wire drawing & insulating
336	Nonferrous Foundries
3361	Aluminum foundries
3362	Brass, bronze, and copper foundries

APPENDIX B (Continued)

Code	Short Title
3369	Nonferrous foundries, nec
339	**Miscellaneous Primary Metal Products**
3398	Metal heat treating
3399	Primary metal products, nec
34	**FABRICATED METAL PRODUCTS**
341	**Metal Cans and Shipping Containers**
3411	Metal cans
3412	Metal barrels, drums, and pails
342	**Cutlery, Hand Tools, and Hardware**
3421	Cutlery
3423	Hand and edge tools, nec
3425	Hand saws and saw blades
3429	Hardware, nec
343	**Plumbing and Heating, Except Electric**
3431	Metal sanitary ware
3432	Plumbing fittings and brass goods
3433	Heating equipment, except electric
344	**Fabricated Structural Metal Products**
3441	Fabricated structural metal
3442	Metal doors, sash, and trim
3443	Fabricated plate work (boiler shops)
3444	Sheet metal work
3446	Architectural metal work
3448	Prefabricated metal buildings
3449	Miscellaneous metal work
345	**Screw Machine Products, Bolts, etc.**
3451	Screw machine products
3452	Bolts, nuts, rivets, and washers
346	**Metal Forgings and Stampings**
3462	Iron and steel forgings
3463	Nonferrous forgings
3465	Automotive stampings
3466	Crowns and closures
3469	Metal stampings, nec
347	**Metal Services, nec**
3471	Plating and polishing
3479	Metal coating and allied services
348	**Ordnance and Accessories, nec**
3482	Small arms ammunition
3483	Ammunition, exc. for small arms, nec
3484	Small arms
3489	Ordnance and accessories, nec
349	**Misc. Fabricated Metal Products**
3493	Steel springs, except wire
3494	Valves and pipe fittings
3495	Wire springs
3496	Misc. fabricated wire products
3497	Metal foil and leaf
3498	Fabricated pipe and fittings
3499	Fabricated metal products, nec
35	**MACHINERY, EXCEPT ELECTRICAL**
351	**Engines and Turbines**
3511	Turbines and turbine generator sets
3519	Internal combustion engines, nec
352	**Farm and Garden Machinery**
3523	Farm machinery and equipment
3524	Lawn and garden equipment

Code	Short Title
353	**Construction and Related Machinery**
3531	Construction machinery
3532	Mining machinery
3533	Oil field machinery
3534	Elevators and moving stairways
3535	Conveyors and conveying equipment
3536	Hoists, cranes, and monorails
3537	Industrial trucks and tractors
354	**Metalworking Machinery**
3541	Machine tools, metal cutting types
3542	Machine tools, metal forming types
3544	Special dies, tools, jigs & fixtures
3545	Machine tool accessories
3546	Power driven hand tools
3547	Rolling mill machinery
3549	Metalworking machinery, nec
355	**Special Industry Machinery**
3551	Food products machinery
3552	Textile machinery
3553	Woodworking machinery
3554	Paper industries machinery
3555	Printing trades machinery
3559	Special industry machinery, nec
356	**General Industrial Machinery**
3561	Pumps and pumping equipment
3562	Ball and roller bearings
3563	Air and gas compressors
3564	Blowers and fans
3565	Industrial patterns
3566	Speed changers, drives, and gears
3567	Industrial furnaces and ovens
3568	Power transmission equipment, nec
3569	General industrial machinery, nec
357	**Office and Computing Machines**
3572	Typewriters
3573	Electronic computing equipment
3574	Calculating and accounting machines
3576	Scales and balances, exc. laboratory
3579	Office machines, nec
358	**Refrigeration and Service Machinery**
3581	Automatic merchandising machines
3582	Commercial laundry equipment
3585	Refrigeration and heating equipment
3586	Measuring and dispensing pumps
3589	Service industry machinery, nec
359	**Misc. Machinery, Except Electrical**
3592	Carburetors, pistons, rings, valves
3599	Machinery, except electrical, nec
36	**ELECTRIC AND ELECTRONIC EQUIPMENT**
361	**Electric Distributing Equipment**
3612	Transformers
3613	Switchgear and switchboard apparatus
362	**Electrical Industrial Apparatus**
3621	Motors and generators
3622	Industrial controls
3623	Welding apparatus, electric
3624	Carbon and graphite products

APPENDIX B (Continued)

Code	Short Title
3629	Electrical industrial apparatus, nec
363	**Household Appliances**
3631	Household cooking equipment
3632	Household refrigerators and freezers
3633	Household laundry equipment
3634	Electric housewares and fans
3635	Household vacuum cleaners
3636	Sewing machines
3639	Household appliances, nec
364	**Electric Lighting and Wiring Equipment**
3641	Electric lamps
3643	Current-carrying wiring devices
3644	Noncurrent-carrying wiring devices
3645	Residential lighting fixtures
3648	Commercial lighting fixtures
3647	Vehicular lighting equipment
3648	Lighting equipment, nec
365	**Radio and TV Receiving Equipment**
3651	Radio and TV receiving sets
3652	Phonograph records
366	**Communication Equipment**
3661	Telephone and telegraph apparatus
3662	Radio and TV communication equipment
367	**Electronic Components and Accessories**
3671	Electron tubes, receiving type
3672	Cathode ray television picture tubes
3673	Electron tubes, transmitting
3674	Semiconductors and related devices
3675	Electronic capacitors
3676	Electronic resistors
3677	Electronic coils and transformers
3678	Electronic connectors
3679	Electronic components, nec
369	**Misc. Electrical Equipment & Supplies**
3691	Storage batteries
3692	Primary batteries, dry and wet
3693	X-ray apparatus and tubes
3694	Engine electrical equipment
3699	Electrical equipment & supplies, nec
37	**TRANSPORTATION EQUIPMENT**
371	**Motor Vehicles and Equipment**
3711	Motor vehicles and car bodies
3713	Truck and bus bodies
3714	Motor vehicle parts and accessories
3715	Truck trailers
372	**Aircraft and Parts**
3721	Aircraft
3724	Aircraft engines and engine parts
3728	Aircraft equipment, nec
373	**Ship and Boat Building and Repairing**
3731	Ship building and repairing
3732	Boat building and repairing
374	**Railroad Equipment**
3743	Railroad equipment
375	**Motorcycles, Bicycles, and Parts**
3751	Motorcycles, bicycles, and parts
376	**Guided Missiles, Space Vehicles, Parts**
3761	Guided missiles and space vehicles
3764	Space propulsion units and parts
3769	Space vehicle equipment, nec
379	**Miscellaneous Transportation Equipment**
3792	Travel trailers and campers
3795	Tanks and tank components
3799	Transportation equipment, nec.
38	**INSTRUMENTS AND RELATED PRODUCTS**
381	**Engineering & Scientific Instruments**
3811	Engineering & scientific instruments
382	**Measuring and Controlling Devices**
3822	Environmental controls
3823	Process control instruments
3824	Fluid meters and counting devices
3825	Instruments to measure electricity
3829	Measuring & controlling devices, nec
383	**Optical Instruments and Lenses**
3832	Optical instruments and lenses
384	**Medical Instruments and Supplies**
3841	Surgical and medical instruments
3842	Surgical appliances and supplies
3843	Dental equipment and supplies
385	**Ophthalmic Goods**
3851	Ophthalmic goods
386	**Photographic Equipment and Supplies**
3861	Photographic equipment and supplies
387	**Watches, Clocks, and Watchcases**
3873	Watches, clocks, and watchcases
39	**MISCELLANEOUS MANUFACTURING INDUSTRIES**
391	**Jewelry, Silverware, and Plated Ware**
3911	Jewelry, precious metal
3914	Silverware and plated ware
3915	Jewelers' materials & lapidary work
393	**Musical Instruments**
3931	Musical instruments
394	**Toys and Sporting Goods**
3942	Dolls
3944	Games, toys, and children's vehicles
3949	Sporting and athletic goods, nec
395	**Pens, Pencils, Office and Art Supplies**
3951	Pens and mechanical pencils
3952	Lead pencils and art goods
3953	Marking devices
3955	Carbon paper and inked ribbons
396	**Costume Jewelry and Notions**
3961	Costume jewelry
3962	Artificial flowers
3963	Buttons
3964	Needles, pins, and fasteners
399	**Miscellaneous Manufactures**
3991	Brooms and brushes
3993	Signs and advertising displays
3995	Burial caskets
3996	Hard surface floor coverings
3999	Manufacturing industries, nec

E. TRANSPORTATION AND PUBLIC UTILITIES

Code	Short Title
40	RAILROAD TRANSPORTATION
401	Railroads
4011	Railroads, line-haul operating
4013	Switching and terminal services
404	Railway Express Service
4041	Railway express service
41	LOCAL AND INTERURBAN PASSENGER TRANSIT
411	Local and Suburban Transportation
4111	Local and suburban transit
4119	Local passenger transportation, nec
412	Taxicabs
4121	Taxicabs
413	Intercity Highway Transportation
4131	Intercity highway transportation
414	Transportation Charter Service
4141	Local passenger charter service
4142	Charter service, except local
415	School Buses
4151	School buses
417	Bus Terminal and Service Facilities
4171	Bus terminal facilities
4172	Bus service facilities
42	TRUCKING AND WAREHOUSING
421	Trucking, Local and Long Distance
4212	Local trucking, without storage
4213	Trucking, except local
4214	Local trucking and storage
422	Public Warehousing
4221	Farm product warehousing and storage
4222	Refrigerated warehousing
4224	Household goods warehousing
4225	General warehousing and storage
4226	Special warehousing and storage, nec
423	Trucking Terminal Facilities
4231	Trucking terminal facilities
43	U.S. POSTAL SERVICE
431	U.S. Postal Service
4311	U.S. Postal Service
44	WATER TRANSPORTATION
441	Deep Sea Foreign Transportation
4411	Deep sea foreign transportation
442	Deep Sea Domestic Transportation
4421	Noncontiguous area transportation
4422	Coastwise transportation
4423	Intercoastal transportation
443	Great Lakes Transportation
4431	Great Lakes transportation
444	Transportation on Rivers and Canals
4441	Transportation on rivers and canals
445	Local Water Transportation
4452	Ferries
4453	Lighterage
4454	Towing and tugboat service
4459	Local water transportation, nec
446	Water Transportation Services
4463	Marine cargo handling
4464	Canal operation
4469	Water transportation services, nec
45	TRANSPORTATION BY AIR
451	Certificated Air Transportation
4511	Certificated air transportation
452	Noncertificated Air Transportation
4521	Noncertificated air transportation
458	Air Transportation Services
4582	Airports and flying fields
4583	Airport terminal services
46	PIPE LINES, EXCEPT NATURAL GAS
461	Pipe Lines, Except Natural Gas
4612	Crude petroleum pipe lines
4613	Refined petroleum pipe lines
4619	Pipe lines, nec
47	TRANSPORTATION SERVICES
471	Freight Forwarding
4712	Freight forwarding
472	Arrangement of Transportation
4722	Passenger transportation arrangement
4723	Freight transportation arrangement
474	Rental of Railroad Cars
4742	Railroad car rental with service
4743	Railroad car rental without service
478	Miscellaneous Transportation Services
4782	Inspection and weighing services
4783	Packing and crating
4784	Fixed facilities for vehicles, nec
4789	Transportation services, nec
48	COMMUNICATION
481	Telephone Communication
4811	Telephone communication
482	Telegraph Communication
4821	Telegraph communication
483	Radio and Television Broadcasting
4832	Radio broadcasting
4833	Television broadcasting
489	Communication Services, nec
4899	Communication services, nec
49	ELECTRIC, GAS, AND SANITARY SERVICES
491	Electric Services
4911	Electric services
492	Gas Production and Distribution
4922	Natural gas transmission
4923	Gas transmission and distribution
4924	Natural gas distribution

Code	Short Title
4925	Gas production and/or distribution
493	**Combination Utility Services**
4931	Electric and other services combined
4932	Gas and other services combined
4939	Combination utility services, nec
494	**Water Supply**
4941	Water supply
496	**Sanitary Services**
4952	Sewerage systems
4953	Refuse systems
4959	Sanitary services, nec
496	**Steam Supply**
4961	Steam supply
497	**Irrigation Systems**
4971	Irrigation systems

I. SERVICES

Code	Short Title
70	HOTELS AND OTHER LODGING PLACES
701	**Hotels, Motels, and Tourist Courts**
7011	Hotels, motels, and tourist courts
702	**Rooming and Boarding Houses**
7021	Rooming and boarding houses
703	**Camps and Trailering Parks**
7032	Sporting and recreational camps
7033	Trailering parks for transients
704	**Membership-Basis Organization Hotels**
7041	Membership-basis organization hotels
72	PERSONAL SERVICES
721	**Laundry, Cleaning, & Garment Services**
7211	Power laundries, family & commercial
7212	Garment pressing & cleaners' agents
7213	Linen supply
7214	Diaper service
7215	Coin-operated laundries and cleaning
7216	Dry cleaning plants, except rug
7217	Carpet and upholstery cleaning
7218	Industrial launderers
7219	Laundry and garment services, nec
722	**Photographic Studios, Portrait**
7221	Photographic studios, portrait
723	**Beauty Shops**
7231	Beauty shops
724	**Barber Shops**
7241	Barber shops
725	**Shoe Repair and Hat Cleaning Shops**
7251	Shoe repair and hat cleaning shops
726	**Funeral Service and Crematories**
7261	Funeral service and crematories
729	**Miscellaneous Personal Services**
7299	Miscellaneous personal services
73	BUSINESS SERVICES
731	**Advertising**
7311	Advertising agencies
7312	Outdoor advertising services
7313	Radio, TV, publisher representatives
7319	Advertising, nec
732	**Credit Reporting and Collection**
7321	Credit reporting and collection
733	**Mailing, Reproduction, Stenographic**
7331	Direct mail advertising services
7332	Blueprinting and photocopying
7333	Commercial photography and art
7339	Stenographic and reproduction, nec
734	**Services to Buildings**
7341	Window cleaning
7342	Disinfecting and exterminating
7349	Building maintenance services, nec
735	**News Syndicates**
7351	News syndicates
736	**Personnel Supply Services**
7361	Employment agencies
7362	Temporary help supply services
7369	Personnel supply services, nec
737	**Computer and Data Processing Services**
7372	Computer programming and software
7374	Data processing services
7379	Computer related services, nec
739	**Miscellaneous Business Services**
7391	Research & development laboratories
7392	Management and public relations
7393	Detective and protective services
7394	Equipment rental and leasing
7395	Photofinishing laboratories
7396	Trading stamp services
7397	Commercial testing laboratories
7399	Business services, nec
75	AUTO REPAIR, SERVICES, AND GARAGES
751	**Automotive Rentals, Without Drivers**
7512	Passenger car rental and leasing
7513	Truck rental and leasing
7519	Utility trailer rental
752	**Automobile Parking**
7523	Parking lots
7525	Parking structures
753	**Automotive Repair Shops**
7531	Top and body repair shops
7534	Tire retreading and repair shops
7535	Paint shops
7538	General automotive repair shops
7539	Automotive repair shops, nec
754	**Automotive Services, Except Repair**
7542	Car washes
7549	Automotive services, nec
76	MISCELLANEOUS REPAIR SERVICES
762	**Electrical Repair Shops**
7622	Radio and television repair
7623	Refrigeration service and repair
7629	Electrical repair shops, nec
763	**Watch, Clock, and Jewelry Repair**
7631	Watch, clock, and jewelry repair

APPENDIX B (Continued)

Code	Short Title
764	**Reupholstery and Furniture Repair**
7641	Reupholstery and furniture repair
769	**Miscellaneous Repair Shops**
7692	Welding repair
7694	Armature rewinding shops
7699	Repair services, nec
78	MOTION PICTURES
781	**Motion Picture Production & Services**
7813	Motion picture production, except TV
7814	Motion picture production for TV
7819	Services allied to motion pictures
782	**Motion Picture Distribution and Services**
7823	Motion picture film exchanges
7824	Film or tape distribution for TV
7829	Motion picture distribution services
783	**Motion Picture Theaters**
7832	Motion picture theaters, ex drive-in
7833	Drive-in motion picture theaters
79	AMUSEMENT & RECREATION SERVICES
791	**Dance Halls, Studios, and Schools**
7911	Dance halls, studios, and schools
792	**Producers, Orchestras, Entertainers**
7922	Theatrical producers and services
7929	Entertainers & entertainment groups
793	**Bowling and Billiard Establishments**
7932	Billiard and pool establishments
7933	Bowling alleys
794	**Commercial Sports**
7941	Sports clubs and promoters
7948	Racing, including track operation
799	**Misc. Amusement, Recreational Services**
7992	Public golf courses
7993	Coin-operated amusement devices
7996	Amusement parks
7997	Membership sports & recreation clubs
7999	Amusement and recreation, nec
80	HEALTH SERVICES
801	**Offices of Physicians**
8011	Offices of physicians
802	**Offices of Dentists**
8021	Offices of dentists
803	**Offices of Osteopathic Physicians**
8031	Offices of osteopathic physicians
804	**Offices of Other Health Practitioners**
8041	Offices of chiropractors
8042	Offices of optometrists
8049	Offices of health practitioners, nec
805	**Nursing and Personal Care Facilities**
8051	Skilled nursing care facilities
8059	Nursing and personal care, nec
806	**Hospitals**
8062	General medical & surgical hospitals
8063	Psychiatric hospitals
8069	Specialty hospitals, exc. psychiatric
807	**Medical and Dental Laboratories**
8071	Medical laboratories
8072	Dental laboratories
808	**Outpatient Care Facilities**
8081	Outpatient care facilities
809	**Health and Allied Services, nec**
8091	Health and allied services, nec
81	LEGAL SERVICES
811	**Legal Services**
8111	Legal services
82	EDUCATIONAL SERVICES
821	**Elementary and Secondary Schools**
8211	Elementary and secondary schools
822	**Colleges and Universities**
8221	Colleges and universities, nec
8222	Junior colleges
823	**Libraries and Information Centers**
8231	Libraries and information centers
824	**Correspondence and Vocational Schools**
8241	Correspondence schools
8243	Data processing schools
8244	Business and secretarial schools
8249	Vocational schools, nec
829	**Schools & Educational Services, nec**
8299	Schools & educational services, nec
83	SOCIAL SERVICES
832	**Individual and Family Services**
8322	Individual and family services
833	**Job Training and Related Services**
8331	Job training and related services
835	**Child Day Care Services**
8351	Child day care services
836	**Residential Care**
8361	Residential care
839	**Social Services, nec**
8399	Social services, nec
84	MUSEUMS, BOTANICAL, ZOOLOGICAL GARDENS
841	**Museums and Art Galleries**
8411	Museums and art galleries
842	**Botanical and Zoological Gardens**
8421	Botanical and zoological gardens
86	MEMBERSHIP ORGANIZATIONS
861	**Business Associations**
8611	Business associations
862	**Professional Organizations**
8621	Professional organizations
863	**Labor Organizations**
8631	Labor organizations
864	**Civic and Social Associations**
8641	Civic and social associations
865	**Political Organizations**
8651	Political organizations
866	**Religious Organizations**
8661	Religious organizations
869	**Membership Organizations, nec**
8699	Membership organizations, nec

APPENDIX B (Continued)

Code	Short Title
88	PRIVATE HOUSEHOLDS †
881	Private Households
8811	Private households
89	MISCELLANEOUS SERVICES
891	Engineering & Architectural Services
8911	Engineering & architectural services
892	Noncommercial Research Organizations
8922	Noncommercial research organizations
893	Accounting, Auditing & Bookkeeping
8931	Accounting, auditing & bookkeeping
899	Services, nec
8999	Services, nec

† It is the opinion of the Office of General Counsel of EPA that Private Households are not service industries and are not industrial users subject to ICR.

ICR GLOSSARY

THE ACT[1] – The Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.), as amended by the Federal Water Pollution Control Act Amendments of 1972 (PL 92-500) and subsequent amendments.

BIOCHEMICAL OXYGEN DEMAND (BOD)[2] – (1) The quantity of oxygen used in the biochemical oxidation of organic matter in a specified time, at a specified temperature, and under specified conditions. (2) A standard test used in assessing wastewater strength.

CASH FLOW[3] – The cash receipts and disbursements of any organization covering a particular period of time.

COLLATERAL[4] – Security provided by banks for cash and securities in their custody.

COMBINED SEWER[1] – A sewer intended to serve as a sanitary sewer and a storm sewer, or as an industrial sewer and a storm sewer.

DISSOLVED OXYGEN (DO)[2] – The oxygen dissolved in water, or other liquid, usually expressed in milligrams per liter, parts per million, or percent of saturation.

DOMESTIC WASTEWATER[2] – Wastewater derived principally from dwellings due to domestic activities. It may or may not contain groundwater, surface water, or storm water.

GRANTEE[1] – Any municipality which has been awarded a grant for construction of a treatment works pursuant to this subpart. In addition, where appropriate in 40 C.F.R. § 35.936 through 35.939, the designation grantee may also refer to an applicant for such a grant.

INDUSTRIAL COST RECOVERY[1] – Recovery by the grantee, from the industrial users of a treatment works, of the grant amount allocable to the treatment of waste from such users pursuant to Section 204(b) of the Act.

INDUSTRIAL COST RECOVERY PERIOD[1] – That period during which the grant amount allocable to the construction of facilities for treatment of wastes from industrial users is recovered from the industrial users of such works.

INDUSTRIAL WASTES[2] – The liquid wastes from industrial processes, as distinct from domestic or sanitary wastes.

INFILTRATION[1] – The water entering a sewer system, including sewer service connections, from the ground, through such means as, but not limited to, defective pipes, pipe joints, connections, or manhole walls. Infiltration does not include, and is distinguished from, inflow.

INFILTRATION/INFLOW[1] – The total quantity of water from both infiltration and inflow without distinguishing the source.

INFLOW[1] – The water discharged into a sewer system, including service connections from such sources as, but not limited to, roof leaders, cellar, yard, and area drains, foundation drains, cooling water discharges, drains from springs and swampy areas, manhole covers, cross connections from storm sewers and combined sewers, catch basins, storm waters, surface run-off, street wash waters, or drainage. Inflow does not include, and is distinguished from, infiltration.

GLOSSARY (Continued)

LETTER OF INTENT[1] – A written statement from an industrial user to a municipality of that user's intent to utilize a specified portion of the publicly-owned waste treatment facility for a given length of time. (paraphrased)

MONITORING[2] – The measurement, sometimes continuous, of water quality.

PRIMARY TREATMENT[2] – The first major treatment in a wastewater treatment works, usually sedimentation.

PROCESS WATER[2] – Water that comes in contact with an end product or with materials incorporated in an end product.

REPLACEMENT[1] – Expenditures for obtaining and installing equipment, accessories, or appurtenances which are necessary during the service life of the treatment works to maintain the capacity and performance for which such works were designed and constructed. The term *operations and maintenance* includes replacement.

SANITARY SEWER[1] – A sewer intended to carry only sanitary or sanitary and industrial waste waters, from residences, commercial buildings, industrial plants, and institutions.

SANITARY WASTEWATER[2] – (1) Domestic wastewater with storm and surface water excluded. (2) Wastewater discharging from the sanitary conveniences of dwellings (including apartment houses and hotels), office buildings, industrial plants, or institutions.

SECONDARY WASTEWATER TREATMENT[5] – The treatment of wastewater to meet secondary effluent limitations as defined in 40 C.F.R. §133, Secondary Treatment Information.

STORM SEWER[1] – A sewer intended to carry only storm waters, surface run-off, street wash waters, and drainage.

SUSPENDED SOLIDS (SS)[2] – Solids that either float on the surface of, or are in suspension in water, wastewater, or other liquids, and which are largely removable by laboratory filtering.

TREATMENT WORKS[1] – Any devices and systems used in the storage, treatment, recycling, and reclamation of municipal sewage or industrial wastes of a liquid nature to implement Section 201 of the Act, or necessary to recycle or reuse water at the most economical cost over the useful life of the works, including intercepting sewers, outfall sewers, sewage collection systems, pumping, power, and other equipment and their appurtenances; extensions, improvement, remodeling, additions, and alterations thereof; elements essential to provide a reliable recycled supply such as standby treatment units and clear well facilities; and any works, including site acquisition of the land that will be an integral part of the treatment process or is used for ultimate disposal of residues resulting from such treatment; or any other method or system for preventing, abating, reducing, storing, treating, separating, or disposing of municipal waste, including storm water run-off, or industrial waste, including waste in combined storm water and sanitary sewer systems.

GLOSSARY (Continued)

USEFUL LIFE[1] – Estimated period during which a treatment works will be operated.

USER CHARGE[1] – A charge levied on users of a treatment works for the cost of operation and maintenance of such works, pursuant to Section 204(b) of the Act.

WASTEWATER SURVEY[2] – An investigation of the quality and characteristics of each waste stream, as in an industrial plant or municipality.

SOURCES:

[1]"Title 40 of the Code of Federal Regulations Part 35."

[2]Glossary Water and Wastewater Control Engineering, prepared by Joint Editorial Board, representing American Public Health Association, American Society of Civil Engineers, American Water Works Association, and Water Pollution Control Federation, 1969.

[3]Dictionary for Accountants, 4th Edition, by Eric L. Kohler, Prentice-Hall publication, Englewood Cliffs, New Jersey, 1970.

[4]Concepts and Practices in Local Government Finance, by Lennox L. Moak and Albert M. Hillhouse, Municipal Finance Officers Association, Chicago, Illinois, 1975.

[5]"Title 40 of the Code of Federal Regulations Part 133."

APPENDIX D

EPA REGIONAL OFFICES

Environmental Protection Agency
Region I
JFK Federal Building
Room 2203
Boston, Massachusetts 02203

Environmental Protection Agency
Region II
26 Federal Plaza
Room 908
New York, New York 10007

Environmental Protection Agency
Region III
Sixth and Walnut Streets
Philadelphia, Pennsylvania 19106

Environmental Protection Agency
Region IV
345 Courtland Street, N.E.
Atlanta, Georgia 30308

Environmental Protection Agency
Region V
230 South Dearborn Street
Chicago, Illinois 60604

Environmental Protection Agency
Region VI
First International Building
1201 Elm Street
Dallas, Texas 75270

Environmental Protection Agency
Region VII
1735 Baltimore Avenue
Kansas City, Missouri 64108

Environmental Protection Agency
Region VIII
1860 Lincoln Street
Suite 900
Denver, Colorado 80203

Environmental Protection Agency
Region IX
100 California Street
San Francisco, California 94111

Environmental Protection Agency
Region X
1200 Sixth Avenue
Seattle, Washington 98101

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